



Department of Commerce
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Community Development Block Grant

2012 Planning-Only Grant

Application Handbook

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Rogers Weed
Director

WASHINGTON STATE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM 2012 PLANNING-ONLY GRANT APPLICATION HANDBOOK

Karen Larkin

Assistant Director

Local Government and Infrastructure Division

John LaRocque

Managing Director

Technical Assistance and Financial Services Unit

CDBG Program Staff

Kaaren Roe

Program Manager

CDBG Program

(360) 725-3018

kaaren.roe@commerce.wa.gov

Lynn Kohn

Project Manager

General Purpose Grant

(360) 725-3042

lynn.kohn@commerce.wa.gov

Phyllis Cole

Project Manager

Planning-Only Grant

(360) 725-4001

phyllis.cole@commerce.wa.gov

Laurie Dschaak

Grant Specialist

CDBG Program

(360) 725-5020

laurie.dschaak@commerce.wa.gov

State of Washington

Department of Commerce

1011 Plum Street SE / Post Office Box 42525

Olympia, WA 98504-2525

Telephone: (360) 725-5020

Fax: (360) 586-8440 TDD: (360) 586-4224

www.commerce.wa.gov/cdbg

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All materials are available on our website at www.commerce.wa.gov/cdbg under Planning-Only Grants.

ESSENTIAL INFORMATION

This section contains details on funding levels, basic eligibility, and tips to help you make certain your submittal is competitive and complete.

- A. Funding Overview and Submittal Instructions
- B. Project and Application Development Tips
- C. Application Checklist

All materials are available on our website at www.commerce.wa.gov/cdbq under Planning-Only Grant.

FUNDING OVERVIEW AND SUBMITTAL INSTRUCTIONS

This Handbook provides information and forms to apply for a 2012 Planning-Only Grant from the state Community Development Block Grant (CDBG) Program.

WHAT IS CDBG?

CDBG is a state administered federal grant that funds eligible local governments for priority community development projects principally benefiting low- and moderate-income persons. The Planning-Only Grant is one of the smaller funds within the state CDBG Program. A summary of all 2012 CDBG fund opportunities is on the CDBG Factsheet in [Appendix B-5.a](#).

All CDBG funded activities must meet at least one of three national objectives of the program:

- Principally benefit persons of low- and moderate-income
- Prevent or eliminate slums or blight
- Meet urgent needs posing serious and immediate threat to public health or safety. (This objective is addressed through the CDBG Imminent Threat Grant program.)

All applications must document the proposed project's benefit to low- and moderate-income (LMI) persons. LMI is defined as 80 percent of the county median income. If you are considering applying to eliminate slums/blight or address an urgent need emergency, please consult CDBG staff before completing this application.

Program Priorities

In addition, the project must address one or more of the Planning-Only Grant program priorities:

- To address public health and safety issues;
- To improve essential services to low- and moderate-income persons;
- To assist communities in meeting planning requirements that will principally benefit low- and moderate-income persons; or
- To support local planning to affirmatively further fair housing.

	Planning-Only Grants
ELIGIBLE APPLICANTS	<p>Cities and towns with less than 50,000 people and counties with populations less than 200,000 may apply, if they <u>do not</u> participate in HUD Urban County Consortia. See Appendix A-1 for a map and list of local governments served by the state CDBG program.</p> <p>Indian tribes and special purpose organizations, such as public housing authorities, port districts, water and sewer districts, community action agencies and economic development councils are not eligible to apply, but may be partners in projects or subrecipients of funding through eligible local governments (cities/towns and counties).</p>
ELIGIBLE ACTIVITIES	<ul style="list-style-type: none"> • Capital facility plans or infrastructure system plans • Community development strategic plans • Functional plans, in areas such as housing, land use, and economic development • Individual projects plans and feasibility studies • Small area and neighborhood plans • Capital improvement plans • Environmental studies <p>A variety of activities are eligible for CDBG funding under Section 105(a) of Title I of the Housing and Community Development Act of 1974 located in Appendix A-5.</p>

INELIGIBLE ACTIVITIES	<ul style="list-style-type: none"> • General grant administration expenses • Final engineering or architectural design • Actual blue prints • Development of an application for funding • Operations or program implementation costs • Professional services not procured following CDBG requirements 	
TOTAL FUNDS AVAILABLE	\$500,000 for 2012	
MAXIMUM GRANT AMOUNTS	<p>\$24,000 for a single local government</p> <p>-- OR --</p> <p>\$40,000 for multiple local governments with a joint application (see next item)</p>	<p>\$35,000 if ALL 4 of the following criteria are met:</p> <ol style="list-style-type: none"> 1. The proposed project addresses a critical public health and safety risk. 2. The proposed project resolves a compliance issue (as confirmed by a regulatory agency such as WA State Department of Health or Department of Ecology). 3. The community is facing an extreme financial hardship (over 2% affordability index for water/sewer projects) in addressing an issue. 4. Other local, federal, and state funding for planning has been sought, but could not be obtained.
MULTIPLE LOCAL GOVERNMENTS	When two or more eligible jurisdictions are located in the same region and share a common planning need, they are encouraged to seek cooperative solutions by preparing a joint application.	
JOINT APPLICATION CRITERIA	<p>The threshold requirements depend on the partners involved. Applicants interested in applying jointly should get guidance and approval from CDBG staff.</p> <p>See Appendix A-6 for more information on joint applications.</p>	
DUE DATE	Accepting applications May 1, 2012 through April 30, 2013, or until all funds are awarded.	
AWARD DATE	An award decision will be made within 90 days of receiving a complete application.	
NUMBER OF APPLICATIONS ALLOWED	A local government can only be awarded one Planning-Only Grant per funding year.	
ADDITIONAL REQUIREMENTS FOR WATER AND/OR SEWER PROJECTS	All planning projects involving water or sewer systems are required to complete a pre-plan review with the appropriate regulatory agency prior to submitting a 2012 Planning-Only Grant application. Regulatory Review forms are included in the application handbook to document the review. An application to fund a water or sewer planning project will not be considered complete if it is lacking the appropriate Regulatory Review form.	

FORMAT GUIDELINES

To make it easier for CDBG staff to locate all parts of your application, we recommend you submit your forms, narrative statements, and attachments in the same order as presented in this Application Handbook.

Suggested labels for tabbed dividers:

1. Project Summary
2. LMI/Demographics
3. Resolution/Cert. of Compliance
4. Citizen Participation Docs
5. Contact List
6. Water/Sewer Rates & Review (optional)
7. Workplan/Budget
8. Narrative
9. Attachments

Overall formatting:

- Print Size No smaller than 12 point font
- Spacing Double space
- Page Numbering Essential for the narrative; nice for the entire document
- Total Narrative Pages Not to exceed 25
- Attachments Tabbed so raters can locate referenced material
- Binding Stapling in the upper left corner is sufficient.

LETTERS OF SUPPORT

Letters documenting support or participation by sectors of the community or regulatory agencies, and letters verifying contribution of resources, are appropriate and should be provided as attachments in the application. Letters of support from state or federal political representatives are not necessary since they do not confirm local support nor provide additional information to determine the statewide priority of one project over another under the CDBG rating criteria.

NUMBER OF COPIES

Submit ONE application with original signature and TWO copies.

MAILING ADDRESS	PHYSICAL ADDRESS
CDBG Program Department of Commerce Post Office Box 42525 Olympia, Washington 98504-2525	CDBG Program Department of Commerce 1011 Plum St SE (Corner of Union & Plum) Olympia, WA 98504-2525 (office is open Mon-Thurs, 7am to 5pm)

HOW ARE PROJECTS SELECTED?

The selection process has three stages: threshold review, rating and selection, and award.

Stage 1 - Threshold Review

Commerce staff will determine if an application meets minimum requirements and may contact you to resolve threshold issues. Applications failing to meet threshold **will not** advance to next stages. Applications that are not complete (missing DUNS#, SWV# or copy of the public hearing notice, for example) at time of submittal may result in a lower Capacity score. To be considered, your application must:

- Be submitted by a local government served by the state CDBG program ([Appendix A-2](#)).
- Be for an eligible activity(s). ([Appendix A-5](#)).
- Demonstrate at least 51 percent of the persons to benefit have incomes at the low to moderate level according to CDBG guidelines.
- Document how and when a public hearing was conducted.
- Sewer or water planning projects: Submit [Utility Rate Analysis form](#) and [Regulatory Agency Review](#) form.
- Joint applications: Submit an Inter-Local Agreement. ([Appendix A-6](#)).
- Complete the forms in [Section 1](#) and have those with signature lines signed by the chief administrative official. Only the Project Summary requires an original signature.

Stage 2 - Rating and Selection

Commerce staff will review the application, to ensure the following:

- Narrative describes a compelling need, the capacity to implement the project, and the readiness to proceed with clear results if funded, following the rating criteria outlined in the Application Handbook.
- Work plans are thorough and well conceived, including relationships with subrecipients or consultants.
- Budget is reasonable and complete, with appropriate leverage of resources.

The Narrative Section of this handbook provides questions to guide the applicant in providing the information necessary to be evaluated against the rating and selection criteria.

Applications will be evaluated by review teams, composed of staff from appropriate units within Commerce, as well as subject-matter experts from other agencies. Commerce may consult with informed third parties including local, state and federal agencies and may conduct interviews or make site visits to assist in the rating and selection process.

The Commerce Resource Team is given the opportunity to comment on the planning activity. Comments will be taken into consideration during the rating process. Additional technical assistance may also be given to the applicant.

For applications that involve water or sewer project planning, comments from the appropriate regulatory agency (the Department of Health or the Department of Ecology) will be taken into consideration during the rating process. Additional technical assistance may also be given to the applicant.

Stage 3 – Award

Commerce management considers staff recommendations and makes final funding decisions. Award letters are sent to the applicants selected for funding, outlining the contracting process. The local government receives an award letter and Non-Construction Grant Management Handbook, and the project moves to execution of the grant contract. Unsuccessful applicants are contacted once all funds are awarded or a decision not to fund is made (whichever comes first).

It generally takes up to 8 weeks to execute a CDBG grant contract. No costs to be covered with Planning-Only Grant funds can be incurred until after the date the grant contract has been executed. An executed contract means it has been signed by both the grantee and the Assistant Director of Commerce's Local Government and Infrastructure Division. Commerce offers training and technical assistance on managing a CDBG-funded project.

Any professional services contracts to be funded by CDBG must be procured following CDBG requirements, even if the procurement occurs prior to execution of the Commerce contract.

CHANGES FROM 2011 APPLICATION:

- Date to start accepting applications was moved to later in year, to better align with federal funding availability.
- Maximum grant amount for multi-jurisdiction applicants reduced to \$40,000, due to anticipated budget reductions and assessment of grant requests. Additional guidance provided related to multi-jurisdiction/joint applications.
- Income surveys done under IACC Income Survey Guide are accepted for infrastructure projects if multiple funders are involved.
- Required Income Survey Worksheets are available in the CDBG Income Survey Guide or the IACC Income Survey Guide.
- Community Demographics have been updated to match HUD database requirements with updated guidance to find census data.
- HUD's 2000 Census data used to update Income Limits by County tables.
- Utility Rate Analysis tool available on the CDBG website for preliminary affordability analysis.
- Narrative section formatting and questions updated, including a separate Project Description.

RELATIONSHIP BETWEEN PLANNING-ONLY GRANTS AND OTHER CDBG FUNDS

An eligible local government can apply for more than one type of CDBG funding within the same year. However, a local government (including a local government participating in a multiple local government project) will not be awarded more than one Planning-Only Grant per year, so the planning project of highest priority should be submitted first.

A Planning-Only Grant cannot fund the direct development of another CDBG application, although some activities that could support a subsequent application are eligible for Planning-Only Grant funding. Receipt of a Planning-Only Grant *does not* guarantee that a related CDBG application will be funded.

PROJECT AND APPLICATION DEVELOPMENT TIPS

Here are some suggestions for selecting and developing the project proposal, and for writing a competitive grant application.

Review community priorities: Review local planning documents such as Comprehensive Plans and compare with CDBG-eligible activities. Be able to document how the proposed project is a priority within the community.

Plan for community/citizen involvement before developing the application: Involve citizens who represent a cross-section of the community such as local officials, special interest groups, and civic organizations. Solicit participation and input early in the development of the project to build support and eliminate potential conflicts or duplication of effort.



Schedule your public hearing now. During the hearing, you can consider community proposals or receive comments on the selected project.

Establish relationship with subrecipient, if applicable: If the local government intends to partner with a local special purpose district or non-profit organization to implement the project, review the sample Subrecipient Agreement available on the CDBG website at www.Commerce.wa.gov/cdbg to assist in developing this partnership and to better understand the commitment and oversight responsibilities when using a subrecipient.

Organize your team and establish a work plan for developing the application: Identify the tasks, key individuals, timelines for grant team meetings, and the time frames for assembly, editing, approval and obtaining official signatures, copying, and delivery of the application by the due date. Develop the project concept as a team, but have one person do the actual writing.

Determine how your project benefits persons with low- and moderate-incomes: You will need to document that either the activities will benefit everyone in a lower income area (called Area Benefit) or will target or limit benefit to lower income persons (called Direct Benefit).



Don't assume the project will meet the CDBG low- and moderate-income documentation requirements without first reading the LMI requirements in this Application Handbook. You may need to conduct an income survey, which is doable but takes time.

Collect data: Collect documentation to support facts on the project's need and urgency, supporting plans, past efforts, community demographics, local government's financial condition, and status of other funding sources.



To organize your narrative statements and ensure you are responding to all rating criteria, it can be useful to write out this handbook's narrative questions and then provide your answer.

Develop your budget: Research to see what others have paid for similar project costs. Do not ask for a certain level of funding just because it's available. Keep your budget realistic.



If your goal is to develop a basic Small Water System Management Program for your community, carefully consider if you need a Planning-Only Grant, since SWSMPs were designed to allow local governments to complete them without hiring a professional consultant. Before applying, do an objective assessment of your local capacity, and also assess the urgency to complete all elements of a SWSMP.

Review your Draft Application: Allow time for review by the grant-writing team and someone unfamiliar with the project. Specifically look for:

- Typos and grammatical errors
- Inconsistencies in logic
- Alignment of need, proposed project and results
- Budget costs that are not clearly justified
- Confusing terms or jargon
- Unsupported statements, unfounded assumptions, or weak documentation



Complete the Project Summary towards the end, since it contains budget information and data that may change as the application is developed.

Meet procurement requirements: Ensure professional services contracts to be funded by CDBG are procured following the CDBG requirements. The unique CDBG procurement requirements are available in Section 5 of the CDBG Management Handbook, available on the CDBG website at www.Commerce.wa.gov/cdbg, and summarized in [Appendix C](#).

Consult the funding program: CDBG staff are available to answer questions. Names and contact information are listed on the title page. Application materials are also available on the CDBG website.

Get your application in early: Make sure your application includes everything needed to pass threshold (including any regulatory review documentation required) and submit it as soon as possible, to have the best chance of funding. While we can accept 2012 applications anytime between May 1, 2012 and April 30, 2013, awards are based on funding availability, and we expect to get more requests than we can fund.

ADDITIONAL TIPS FOR WATER &/OR SEWER PROJECTS:

Consult the appropriate Regulatory Agency: If your project involves planning for a water system, schedule a pre-plan meeting with the Dept. of Health. If your project involves planning for a sewer system, schedule a pre-plan meeting with the Dept. of Ecology.



Do not wait to schedule the pre-plan review with the Regulatory Agency, since the outcome of the review could result in you changing your scope of work/budget, or you may learn about other funding opportunities to consider.

Assess your ability to fund your project with system-related revenues/reserves: Regular system plan updates should be anticipated and included in your annual operating budget.

Before you apply for CDBG Planning-Only Grant funding for such routine planning, please use the Utility Rate Analysis tool, found on the CDBG website at www.Commerce.wa.gov/cdbg, to assess your financial need and capacity. If the analysis results indicate you can afford to pay for your planning project without a grant, your need score will be too low to receive a grant.



Use the Application Checklist on the next page to be certain your application is complete.

APPLICATION CHECKLIST

ARE YOU SURE?

1.	Applicant is an eligible local government	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	All activities and costs are eligible	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	Amount requested is within maximum grant levels	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.	Each activity principally benefits persons with low to moderate incomes	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.	The local government has not already been awarded a 2012 Planning-Only Grant	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.	If professional services have already been procured for this project, all CDBG procurement rules have been followed.	<input type="checkbox"/> Yes	<input type="checkbox"/> No

HAVE YOU INCLUDED?

1.	Submitted ONE original and TWO copies	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Complete and signed Project Summary (original signature)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	Low- and Moderate-Income Benefit Documentation Form	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> If an income survey was used, have you described the methodology and tool used? Is the Income Survey Worksheet from the Income Survey Guide included? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> If an income survey was used and the resulting LMI was 51% to 60%, have you included the actual survey forms? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> If HUD's 2000 Census data was used and the community is not listed in <u>Appendix A-3</u>, have you attached a map showing census tracts of the service area? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> If using HUD's 2000 Census data to document LMI, have you included the Population Change Worksheet documenting population change since 2000 does not result in the LMI percentage dropping below 51 percent? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> If Limited Clientele was used, have you described how the project exclusively benefits a special group, or the process for income qualification? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> If a housing activity, have you described the processes for income qualification and ensuring residency? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> If a job creation/retention activity, have you described the recruitment and hiring processes and included a hiring agreement? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.	Community Demographics Form	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.	Signed Title VI Certification	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.	Signed Resolution with Certifications of Compliance	<input type="checkbox"/> Yes	<input type="checkbox"/> No
7.	Complete Citizen Participation Documentation form with copies of public hearing notice(s) and minutes, and grievance procedure	<input type="checkbox"/> Yes	<input type="checkbox"/> No
8.	Contact List	<input type="checkbox"/> Yes	<input type="checkbox"/> No
9.	Work Plan	<input type="checkbox"/> Yes	<input type="checkbox"/> No
10.	Budget Form and Budget Assumptions	<input type="checkbox"/> Yes	<input type="checkbox"/> No
11.	Narratives	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> Project Description 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> Need Statement 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> Capacity Statement 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> Readiness Statement 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> Results Statement 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
12.	Additional Considerations	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> If persons to be served include persons from a CDBG entitlement area, did you explain how the project meets the CDBG entitlement/non-entitlement policy requirements? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> A readable map of the local government jurisdiction and service area for this project 	<input type="checkbox"/> Yes	<input type="checkbox"/> No

IF WATER AND/OR SEWER PROJECT, DID YOU ALSO INCLUDE:

1.	Regulatory Agency Review (required for water or sewer system planning):	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> Regulatory Agency Review Form – Be sure to use the right one for your type of plan 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	<ul style="list-style-type: none"> If a water plan, have you included the notes from the pre-plan meeting with DOH? 	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Utility Rate Analysis form (required for water and/or sewer projects only)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

SECTION 1

FORMS AND CERTIFICATIONS

This section contains the following forms you **must** complete and return with your application package.

- A. Project Summary
- B. Low- and Moderate-Income Benefit Documentation
- C. Population Change Worksheet (if applicable)
- D. Community Demographics
- E. Title VI Certification
- F. Resolution with Certifications of Compliance
- G. Citizen Participation Documentation
- H. Contact List
- I. Utility Rate Analysis (required for water/sewer projects)
- J. Regulatory Agency Review (required for water/sewer projects)
- K. Work Plan and Instructions
- L. Budget Forms and Instructions
- M. Joint Application Process (if applicable)

All materials are available on our website at www.Commerce.wa.gov/cdbg under Planning-Only Grant.

CDBG PROJECT SUMMARY

1. Grant Type:	<input type="checkbox"/> General Purpose <input checked="" type="checkbox"/> Planning-Only <input type="checkbox"/> Housing Enhancement <input type="checkbox"/> Imminent Threat		
2. Jurisdiction: Address - Mail: Address - Street: City, Zip: County: Email:		Phone:	
		Fax:	
		Fed Tax ID #:	
		SWV #:	
		DUNS #:	
		CCR Exp. Date:	
3. Contact Person: Address - Mail: Address - Street: City, Zip: Email:		Title:	
		Phone:	
		Fax:	
4. Subrecipient: Contact Person: Address - Mail: Address - Street: City, Zip: Email:		Title:	
		Phone:	
		Fax:	
		Organization Category(s):	
		DUNS #:	
5. Consultant: Firm Name: Address: City, Zip:		Phone:	
		Fax:	
		Email:	
6 Fiscal Year:	From: _____ To: _____		
7. State Legislative District:		Congressional District:	
8. Brief Project Description:			
9. Is this a multiple local government joint application? <input type="checkbox"/> Yes <input type="checkbox"/> No. If yes, please identify the non-lead partnering local government:			

10. National Objective:	<input type="checkbox"/> Principally benefits low- and moderate-income persons or households. <input type="checkbox"/> Prevents or eliminates slums or blight. <input type="checkbox"/> Meets urgent community development needs that pose a serious and immediate threat to public health or safety.		
11. Project Budget Summary:	CDBG	\$	Match the Project Budget form
	CDBG Program Income	\$	
	Other Federal	\$	
	Other State	\$	
	Local Public	\$	
	Private	\$	
	TOTAL	\$	
12. Project Beneficiaries:	# of Persons		LMI Percentage: ____%
	# of LMI Persons		
	# of Households		CDBG Investment per Household: \$ _____
	# of LMI Households		
13. How were the beneficiaries determined?	Area Benefit	<input type="checkbox"/> Appendix A-3 HUD's Census List <input type="checkbox"/> HUD's Census Block Groups Data <input type="checkbox"/> Income Survey /Date:	
For Limited Clientele, Housing, or Economic Development Jobs activities, check Direct here:		<input type="checkbox"/> Direct Benefit Only	
14. Street address, city and zip code of project:			
15. Census Tract Number(s): Census Block Number(s): , , ,			
16. Certification of Chief Administrative Official: <i>The information provided in this application is true and correct to the best of the local government's belief and knowledge and it is understood the state may verify information, and that untruthful or misleading information may be cause for rejection of this application or termination of any subsequent grant agreement.</i>			
Signature		Date	
Print Name		Title	

PROJECT SUMMARY INSTRUCTIONS

The Project Summary serves as the cover page for the application and should be the first page inside the cover. **Every block must be accurately completed before the application is submitted.** Not completing this form slows down the Department of Commerce's processing of your application, entry into state and federal databases, and your availability to CDBG funds.

1. Planning-Only Grant is already checked, since this is the type of grant for which you are applying.
2. The applicant jurisdiction must be a non-entitlement city or county.
 - The Tax Identification number is usually a "91-" number.
 - The jurisdiction's statewide vendor (SWV) number is necessary to release funds from the state to the local government. Obtain a SWV number at: www.ofm.wa.gov/isd/vendors/default.asp.
 - A Data Universal Number System (DUNS) number is required for recipients of federal funds. Obtain a DUNS number at: www.grants.gov/applicants/org_step1.jsp.
 - Recipients of federal funds must renew their registration in the Central Contractor Registration (CCR) database each year. Further information on CCR is available at www.bpn.gov/ccr.
3. Provide information on the contact person, should we need more information about your project. If funded this person will be the main contact for the CDBG contract.
4. Provide information on any subrecipient organization to benefit from the project or to receive CDBG funds to implement the project on behalf of the local government.
 - Write in which of the organization categories apply: Non-Profit (NP), Faith-Based (FB), Institute of Higher Education (HE).
 - A Data Universal Number System (DUNS) number is required for subrecipients of federal funds. Obtain a DUNS number at: www.grants.gov/applicants/org_step1.jsp.
5. Provide information on the consultant used to develop the proposal, if applicable.
6. List the month and day of the applicant's fiscal year from beginning to end.
7. List the numbers of the state and congressional districts.
8. Provide a brief project description, summarizing what is to be accomplished and the major elements of the project proposed to be funded with a CDBG Planning-Only Grant.
9. Provide the name of the partnering local government(s), and be sure to list a point of contact on the [Contacts List](#). For more information on multiple local government joint applications, please see [Appendix A-6](#).
10. Check the applicable National Objective. It is not necessary to address more than one national objective. The third, Urgent Need, objective requires a local declaration of emergency and rarely applies to CDBG grants other than an Imminent Threat Grant project.
11. Summarize the CDBG amount and funds leveraged from the application's detailed Project Budget form.
 - The CDBG amount cannot exceed the amount requested in the Resolution of Certifications of Compliance or CDBG maximum limits.
 - CDBG program income is any income generated from the use of a prior or current CDBG award that totals at least \$25,000 in a calendar year.
12. These numbers must be consistent with data used to complete the Low- and Moderate-Income Benefit Documentation form.
 - For area benefit projects, list the estimated number of persons and households in the project service area using the service area's current population data. If a survey was conducted, get the number of households from Line 1 of the Income Survey Worksheet. For direct benefit

projects, list the unduplicated number of persons to receive a direct benefit as a result of the project, such as a service or loan assistance.

- Multiply the LMI Percentage to the # of Persons to calculate the # of LMI Persons; and multiply the LMI Percentage to the # of Households to calculate the # of LMI Households. **The LMI percentage must be at least 51%.**
- Divide the CDBG budget amount (box 11) by the # of Households (not the # of LMI Households) to calculate the CDBG Investment per Household.

13. Select how beneficiaries were determined to meet the LMI requirement, based on the following Low- and Moderate-Income Benefit Documentation form. If you completed an income survey, list the month/year of the survey.
14. Provide the street address, city and zip code where the project is to be located for federal reporting purposes. For pipe, street or other projects without a street address, list the beginning number of the project's primary street, such as 400 Main St, Anytown, 9XXXX. For non-construction activities, list the government or subrecipient office address where the project is being managed, including city and zip code.
15. Provide ALL census tract and census block group numbers of the project service area for federal reporting purposes. These numbers can be identified by your local or regional planning office or by accessing maps on the US Census website:
www.census.gov/geo/www/maps/DC10_GUBlkMap/place/dc10blk_st53_place.html.
16. This form must be signed by the local government's chief administrative official (mayor, county commission chair, county administrator, city manager, or designated local government official as authorized by the CDBG Resolution of Certifications of Compliance, as applicable). Special purpose districts are not considered a local government in the CDBG regulations. Print the official's name and title. An original signature must be submitted.

LOW- AND MODERATE-INCOME BENEFIT DOCUMENTATION

CDBG applications must document how each CDBG funded activity will principally benefit low- and moderate-income (LMI) persons. A project may have more than one CDBG activity and type of benefit, but you must choose only one type to use as a basis for LMI determination. Follow the instructions on the next pages, check the applicable box(es) on this form, and submit this form with the applicable documentation listed for your project's benefit type(s).

My project includes Area Benefit activities	Check all that apply
The activity's LMI benefit is based on the list of local governments with 51% or greater LMI from HUD's 2000 Census data (Appendix A-3) and attached are: <ul style="list-style-type: none"> • A map of the service area; • Population Change Worksheet; and • Project Summary, with item 13 checked <i>Appendix A-3 HUD's Census List</i>. 	<input type="checkbox"/>
The activity's LMI benefit is based on an income survey and attached are: <ul style="list-style-type: none"> • Income Survey Worksheet from the CDBG Income Survey Guide or the IACC Income Survey Guide; • A sample of the survey tool, tallying the number of responses by household size; • The income survey forms (copies are acceptable) if the income survey resulted in a LMI percentage between 51% – 60%; • A written description of the survey process, describing how the survey universe was defined and efforts to ensure randomness; and • Project Summary, with item 13 checked <i>Income Survey</i> and the survey date. 	<input type="checkbox"/>
The activity's LMI benefit is based on HUD's 2000 Census block group data and census maps, and attached are: <ul style="list-style-type: none"> • A list of the census tract/block groups for the service area and the LMI percentages from HUD's data; • A map of the service area demonstrating the matching correlation between the service area boundaries and the census boundaries; and • Project Summary, with item 13 checked <i>HUD's Census Block Group Data</i>. 	<input type="checkbox"/>
My project includes Direct Benefit activities	Check all that apply
The activity's LMI benefit is based on Limited Clientele qualification and attached are: <ul style="list-style-type: none"> • A written description of how the project exclusively benefits a "presumed benefit" special group, or the process for income qualifying households that will result in the project principally benefiting LMI persons; • (If LMI limits are not used), detail on the income qualifications to show how they fall within the LMI limits; • A best-guess breakdown by very low (30%), low (50%) and moderate (80%) income levels of the total number of persons expected to benefit during the project period or the first 12 months of operation; and • Project Summary, with item 13 checked <i>Direct Benefit Only</i>. 	<input type="checkbox"/>
Housing - the activity's LMI benefit is based on household qualification (including private side connections) and attached are: <ul style="list-style-type: none"> • A written description of the process for income qualifying households and ensuring occupancy; • A best-guess breakdown by very low (30%), low (50%) and moderate (80%) income levels of the total number of persons expected to benefit during the project period; and • Project Summary, with item 13 checked <i>Direct Benefit Only</i>. 	<input type="checkbox"/>

My project includes Direct Benefit / Economic Development activities	Check all that apply
<p>Microenterprise Assistance - the activity's LMI benefit is based on Limited Clientele qualification and Job Creation/Retention, and attached are:</p> <ul style="list-style-type: none"> • A written description of the employee recruitment and hiring process and/or the process for income qualifying a microenterprise owner; • The estimated number of unduplicated persons to receive CDBG-funded <i>training and technical</i> assistance, and also estimated number of persons to receive CDBG-funded <i>financial</i> assistance during the project period. • A best-guess breakdown by very low (30%), low (50%) and moderate (80%) income levels of the total number of persons expected to benefit during the project period; and • Project Summary, with item 13 checked <i>Direct Benefit Only</i>. 	<input type="checkbox"/>
<p>Economic Development – the activity's LMI benefit is based on Job Creation/Retention activities and attached are:</p> <ul style="list-style-type: none"> • A written description of the employee recruitment and hiring process; • An LMI Employment Agreement with DUNS number from the employer; • A best-guess breakdown of the total number of persons expected to benefit by very low (30%), low (50%) and moderate (80%) income levels during the project period; and • Project Summary, with item 13 checked <i>Direct Benefit Only</i>. 	<input type="checkbox"/>

LOW- AND MODERATE-INCOME REQUIREMENTS

CDBG applications must document how the project will principally benefit low- and moderate-income (LMI) persons.

LMI is defined as income up to 80 percent of the median county income by household size. [Appendix A-4](#) lists the 2012 LMI limits for each county, as defined by HUD.

Based on CDBG regulations, there are four categories for LMI benefit:

1. Area benefit activities

Direct benefit activities:

- 2. Limited clientele**
- 3. LMI Housing**
- 4. LMI Job creation or retention**

The first and very important step is to clearly determine the boundaries of the proposed service area and the population to be served.

Will your project benefit all residents of a community, district, or service area?

Examples: sewer, water or street improvements, community center construction, or fire station renovation.

→ If **YES**, then it is an Area Benefit activity. Follow the Area Benefit requirements below.

→ If **NO**, then follow the Direct Benefit requirements on the following pages.

If your project includes separate activities that benefit different populations, then follow the applicable documentation requirements for each activity.

Example: You are requesting CDBG to fund public water line replacement that will benefit the entire town's water system (an Area Benefit activity) and private water side connections for only low- and moderate-income households (a LMI Housing activity).

If your project is close to the descriptions provided but you are still unsure whether it principally benefits LMI, contact the CDBG Program to discuss your proposal, confirm eligibility and determine specific documentation requirements.

Area Benefit Activities

Area benefit is the most common type of CDBG funded activity. To be CDBG eligible, you must document at least 51 percent of the residents in the service area are LMI persons. HUD allows two ways to document this area benefit: (1) HUD's Census data on LMI, or (2) CDBG income survey.

When the service area is the local government boundaries:

[Appendix A-3](#) is HUD's 2000 Census list of local governments with 51 percent or greater LMI population.

Required application documentation when using the 51 percent LMI list on [Appendix A-3](#):

- Provide a map of the service area;
- Population Change Worksheet and
- Complete the Project Summary, checking [Appendix A-3](#) HUD's Census List in item 13.

When the service area is a portion of, overlaps, or extends beyond the local government boundaries:

An income survey will need to be conducted in most cases. You may choose between the following two guides that are available on the CDBG website at www.commerce.wa.gov/cdbg.

1. CDBG Income Survey Guide: If only applying for CDBG funds for this project, follow the CDBG Income Survey Guide. Contact the CDBG Program for approval to use an income survey of the same service area conducted for a previous project.
2. IACC Income Survey Guide: If applying to CDBG and other funders for an infrastructure project, you can instead choose to follow the IACC Income Survey Guide.

It is important to clearly establish the proposed project's service area. Since some projects for smaller service areas can be considered by the CDBG Program as a benefit to the entire community or system, get CDBG program approval of the survey methodology before conducting an income survey.

Required application documentation when using Income Survey data:

- Complete the Income Survey Worksheet from the CDBG Income Survey Guide or the IACC Income Survey Guide;
- Provide a sample of the survey tool, tallying the number of responses by household size;
- Provide the income survey forms (copies are acceptable) if the income survey resulted in a LMI percentage between 51% – 60%;
- Submit a written description of the survey process, describing how the survey universe was defined and efforts to ensure randomness; and
- Complete the Project Summary, checking *Income Survey* and providing the survey date in item 13.

Instead of an income survey, you may be able to use HUD's 2000 Census data that has calculated the LMI percentage for each census tract and block group. The first step is to review census maps to establish if there is a matching correlation between the census block group boundaries and the proposed service area. These maps are available from your local planning agency or the census website at:

www.census.gov/geo/www/maps/DC10_GUBlkMap/place/dc10blk_st53_place.html. Enter the project address on the left side bar and use the colored legend to find the applicable tract and block group numbers. When these numbers are identified, HUD's LMI percentage data for that area can be found on the CDBG website at: www.commerce.wa.gov/cdbg, on the [About CDBG](#) page. Scroll down to the middle of the page. Under the heading "[Block Group and Census Tract Data](#)," locate your county and the applicable block groups and find the percentage for that block group.

Required application documentation when using HUD's Census data:

- List the census tract/block groups for the service area and the LMI percentages from HUD's data;
- Provide a map of the service area demonstrating the correlation between the service area boundaries and the census boundaries; and
- Complete the Project Summary, checking *HUD's Census Block Group Data* in item 13.

Projects that potentially benefit residents of both CDBG entitlement and non-entitlement areas:

The state CDBG program may fund projects benefiting both CDBG entitlement and non-entitlement area residents (see [Appendix A-1](#) for the map and list of entitlement and non-entitlement local governments). Several conditions apply: At least 51 percent of the project beneficiaries must be documented as full-time residents of the non-entitlement areas and the applicant clearly documents how the state CDBG program does not fund a disproportionate level of the project costs as compared to the entitlement jurisdiction's beneficiaries. The non-entitlement applicant must certify that the project is consistent with their community development plans, and other conditions are met as outlined in the state CDBG program's Entitlement/Non-Entitlement Policy that is available upon request.

Direct Benefit Activities

These activities directly target services to lower income persons or benefit a limited number or specific group of people, as long as at least 51 percent of those served are LMI persons (rather than everyone in an area). An activity can provide a direct benefit in any of the following ways:

Limited Clientele

a. Exclusively benefit a clientele who are presumed by HUD to be principally LMI persons. These “presumed benefit” special groups include:

- Abused children
- Battered spouses
- Illiterate persons
- Elderly persons
- Homeless persons
- Migrant farm-workers
- Food banks
- Persons living with the disease AIDS
- Severely disabled adults (meeting Census’ definition)

If an activity is targeting persons belonging to one of the above HUD-defined special groups, it can be presumed, without requiring a survey, that the activity will be providing a 51 percent benefit to LMI persons. Using this special group presumed benefit does **not** apply to housing or job creation projects, which must meet the respective LMI Housing and LMI Jobs criteria.

Example: Construction of a senior center.

OR

b. Information on family size and income is available and shows at least 51 percent of the activity’s clientele meet, and will continue to meet, the LMI income criteria. Not applicable to hospitals or other facilities open to the general public.

Example: Renovation of a work-force training center.

OR

c. Income eligibility requirements limit the activity to LMI persons only.

Example: Acquisition of a building to serve as a new Head Start Center.

OR

d. Be of such nature and location that it may reasonably be concluded that the activity’s clientele will primarily be LMI persons.

Example: Construction of a day care center designed to serve a public housing complex.

Required application documentation for Limited Clientele activities:

- Describe how the project exclusively benefits a “presumed benefit” special group, or describe the process for income qualifying households that will result in the project principally benefiting LMI persons;
- If an income standard other than LMI limits is used, show how the other income standard falls within the LMI limits;
- Breakdown the total number of persons to benefit by those at the very low (30%), low (50%) and moderate (80%) income levels expected to benefit during the project period or the first 12 months of operation; and
- Complete the Project Summary form, checking *Direct Benefit Only* in item 13.

LMI Housing, including Private Side Connections

Require information on household income and residency of homeowners (or renters and affordable rent levels, if applicable) to establish eligible LMI households or housing units. For multiple unit housing projects, over half of the units must benefit LMI households.

Examples: Housing rehabilitation, including single- and multi-family residences occupied by owner or renter LMI households, and side service utility connections.

Required application documentation for Housing activities:

- Describe the process for income qualifying households and ensuring residency,
- Breakdown the total number of households to benefit by those at the very low (30%), low (50%) and moderate (80%) income levels expected to benefit during the project period; and
- Complete the Project Summary form, checking *Direct Benefit Only* in item 13.

OR

LMI Jobs

Directly result in the creation or retention of jobs, at least 51 percent of which, on a full-time equivalent (FTE) basis, are documented as either *held by* LMI persons or made *available to* LMI persons.

Example: Installation of public water/sewer lines to the site of a new distribution warehouse.

Given the complexity of the CDBG requirements for job creation/retention projects, we strongly recommend you contact the CDBG Program for further guidance.

Required application documentation for Job Creation/Retention activities:

- Describe the recruitment and hiring process;
- Submit a LMUI Hiring Agreement with DUNS number from the employer;
- Provide a best guess breakdown the total number of households to benefit by those at the very low (30%), low (50%) and moderate (80%) income levels; and
- Complete the Project Summary Form, checking *Direct Benefit Only* in item 13.

Note the following special circumstances:

If a proposed project, such as a community center, will have some space available for all service area residents and also some space for programs benefiting just lower income persons, then your application must document that at least 51 percent of the service area population meets the LMI criteria OR the percentage of total project costs to be paid with CDBG funds is no more than the percentage of space for programs benefiting just low- and moderate-income persons.

Activities to Prevent or Eliminate Slum or Blight

If the primary purpose of your project is to prevent or eliminate slum or blight, AND the project does not principally benefit low- and moderate-income persons, then contact the CDBG Program for further guidance on meeting this alternative national objective.

POPULATION CHANGE WORKSHEET

NOTE: This Population Change Worksheet is required only when HUD's 2000 Census data is being used to document area benefit.

Submit this worksheet to verify that changes in total population since 2000 would not potentially result in the LMI percentage dropping below 51 percent. To complete the worksheet, follow the instructions provided on each line.

1. Enter the total population used in HUD's calculation of 2000 Census data found in Appendix A-2.	
2. Enter current total population. List data source:_____	
3. Enter the LMI percentage that HUD calculated from the 2000 Census data found in Appendix A-2.	
4. Determine the population increase/decrease. (Subtract #1 from #2)	
5. Determine the percent of population increase/ decrease. (Divide #4 by #1)	
6. Determine the margin between the latest LMI percentage and 51%. (Subtract 51% from #3)	
7. Determine whether there is a positive or negative change. (Subtract #6 from #5) If number 7 is a negative number, no further action is required. If number 7 is a positive number, the jurisdiction has experienced significant population change and should consider completing one of the two options listed below.	

Background:

HUD does not expect to complete its calculations of new low- and moderate-income (LMI) population data based on the 2010 census until late 2012. Several areas of the state have experienced significant population changes since 2000, and in some cases, these population changes could impact the community's percentage of LMI persons. This has caused concern whether HUD's 2000 census data is valid as the only documentation of the project's benefit to LMI persons.

Until the new HUD calculation of LMI census data becomes available, CDBG applicants must use the worksheet above to assess whether local population changes are significant enough to potentially impact the percentage of LMI persons in the service area. A significant population change would be a decrease in the LMI below 51%.

Options:

Communities that have experienced significant population change as defined above should consider two options for verifying area benefit eligibility.

1. Conduct a new survey of the benefit area, or
2. Provide evidence that the population change consisted of households that are predominantly LMI. Sources could include data from the state Office of Financial Management, Employment Security, and local school districts.

CDBG staff will determine if the evidence is satisfactory during their threshold review of the application. Otherwise, the applicant will be immediately informed that an income survey will be required if the application ranks high enough to be funded.

COMMUNITY DEMOGRAPHICS

This information is required for the CDBG database, used by review teams to analyze and compare similar projects, and the basis for the following Title VI certification. **Please use the same beneficiary and population numbers throughout your application.**

Complete the applicable columns. Instructions for locating and estimating data are on the next page.

1. A project may include both area benefit and direct benefit activities. See the LMI Requirements section of this handbook for guidance on area and direct benefit activities.
2. If no direct benefit activities (ex. housing rehab or senior center), leave "Direct Benefit" column blank.
3. **All** applicants must complete the "City/town or county population" column under Area Benefit. Instructions for finding population data are on the next page.
4. If the project service area is *smaller* or *larger* than the boundaries of the applicant city/town or county, complete the "Service area population" column under Area Benefit. Otherwise, leave column blank. In calculating the "Persons to be served" (under Direct Benefit) or the "Service area population" (under Area Benefit), you may want to use the percentages found by following the directions on the next page.

Demographics	Direct Benefit	Area Benefit	
	Persons to be served during the CDBG contract period OR in the first 12 months of operation	City/town or county population (all applicants should fill in this column)	Service area population (if service area population is smaller or larger than jurisdiction population)
Number of persons			
Number of Hispanic or Latino (of any race) persons			
Racial Populations			
White			
Black or African American			
Asian			
American Indian/Alaskan Native			
Native Hawaiian/Pacific Islander			
Other			
Racial Total			
(Optional) Current unemployment rate			%

**Number of persons must match the Racial totals for each column.*

For Direct Benefit Housing Activities:

If possible, estimate the following household information. If not available at time of application, this information will be collected as the units are occupied and reported at CDBG contract closeout.

	Female householder, no husband present, with dependent under 18
	Number of elderly households (62 years or older)
	Median household income

Use current demographic data, if it is available locally. Otherwise, please see the following page for instructions on where to find demographic data from the US Census.

Data Instructions: These data can be found at the <http://factfinder2.census.gov> website.

1. Under Quick Start, insert “Housing estimate” under topic or table name and insert jurisdiction name. Click “race/ancestry” and then click “GO” to bring up your search results.

Quick Start

Enter search term(s) and click 'GO' ?

topic or table name: for state, county or place (optional):

☐ topics ☒ race/ancestry ☐ industries

Or use the options on the left to begin your search

2. Click on the DP-1 table, titled “Profile of General Population” and Dataset titled “2010 Demographics Profile SF” to bring up the data.

Search for:

No race/ancestry group was found that matches your search request. Use the 'Race and Ethnic Groups' filter to...

ID	Table, File or Document Title	Dataset	About
<input type="checkbox"/> DP-1	Profile of General Population and Housing Characteristics: 2010	2010 Demographic Profile SF	i
<input type="checkbox"/> DP-1	Profile of General Population and Housing Characteristics: 2010	2010 SF2 100% Data	i
<input type="checkbox"/> DP02	SELECTED SOCIAL CHARACTERISTICS IN THE UNITED STATES	2010 ACS 1-year estimates	i
<input type="checkbox"/> DP02	SELECTED SOCIAL CHARACTERISTICS IN THE UNITED STATES	2010 ACS 3-year estimates	i
<input type="checkbox"/> DP02	SELECTED SOCIAL CHARACTERISTICS IN THE UNITED STATES	2010 ACS 5-year estimates	i
<input type="checkbox"/> DP02PR	SELECTED SOCIAL CHARACTERISTICS IN PUERTO RICO	2010 ACS 1-year estimates	i

3. Scroll down to find the information you need. All applicants must list the population by RACE, as highlighted in this example.

Subject	Number	Percent
RACE		
Total population	252,264	100.0
One Race	238,769	94.7
White	207,856	82.4
Black or African American	6,752	2.7
American Indian and Alaska Native	3,515	1.4
Asian	13,037	5.2
Asian Indian	1,847	0.4
Chinese	1,422	0.6
Filipino	2,627	1.0
Japanese	801	0.3
Korean	2,610	1.0
Vietnamese	2,571	1.0
Other Asian [1]	1,959	0.8
Native Hawaiian and Other Pacific Islander	1,961	0.8
Native Hawaiian	328	0.1
Guamanian or Chamorro	934	0.4
Samoan	415	0.2
Other Pacific Islander [2]	284	0.1
Some Other Race	5,648	2.2
Two or More Races	13,495	5.3
White; American Indian and Alaska Native [3]	3,173	1.3
White; Asian [3]	3,532	1.4
White; Black or African American [3]	2,352	0.9
White; Some Other Race [3]	1,212	0.5

TITLE VI CERTIFICATION

The (city/county) of _____ assures and certifies compliance with the following laws and regulations:

Title VI of the Civil Rights Act of 1964, which states:

“No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.”

Section 1.4(b)(2)(I) of the regulations of the Department of Housing and Urban Development issued pursuant to Title VI which require:

“A recipient, in determining the types of housing, accommodations, facilities, services, financial aid, or other benefits which will be provided under any such program or activity, or the class of persons to whom, or the situations in which, such housing, accommodations, facilities, services, financial aid, or other benefits will be provided under any such program or activity, or the class of persons to be afforded an opportunity to participate in any such program or activity, may not, directly or through contractual or other arrangements, utilize criteria or methods of administration which have the effect of subjecting persons to discrimination because of their race, color, national origin, or have the effect of defeating or substantially impairing accomplishment of the objectives of the program or activity as respect to persons of a particular race, color, or national origin.”

1. For the project proposed in this application for CDBG funds, the minority populations reported on the application’s Community Demographics are:

- ☐ Scattered throughout the community.
- ☐ Scattered throughout the community, with concentrations in the following areas or neighborhoods:
- ☐ Concentrated in the following areas or neighborhoods:

2. The following opportunities were provided to protected groups to participate in and comment on the design of activities to be undertaken as part of this project (check all that apply):

- ☐ Public hearing to review community development and housing needs
- ☐ Community meeting(s)
- ☐ Community survey
- ☐ Apply to be on a wait list for direct assistance
- ☐ Other:

3. Will all residents of the service area benefit from this CDBG project?

- ☐ Yes, all residents of the service area will benefit from the CDBG project. Go to 6.
- ☐ The following protected group(s) or minority populations residing in the area will not benefit from the CDBG project:

4. The above populations that will not benefit from this CDBG project:

- ☐ Will receive similar services provided through existing programs. *Go to 6.*
- ☐ Do not receive similar services provided through existing programs. *Please provide a brief explanation:*

5. For those protected groups that will not benefit from this CDBG, nor will receive similar services, the following plan identifies a timetable for providing such services in the future.

_____ No such services are planned for the following reasons:

_____ Plan and timetable:

6. The following steps will be taken to ensure benefits from the CDBG project are offered to all residents and protected groups within the community: (check all that apply)

_____ Protected groups will be informed of the opportunity to apply for direct assistance program funded by CDBG.

_____ Protected groups will be informed of the availability of programs to be located in a CDBG funded facility.

_____ A community meeting will be held to inform all residents of benefits resulting from the CDBG project.

 X Required: A final public hearing to receive comment on the CDBG project is required and will be conducted with outreach and accommodation for non-English speaking residents, if applicable.

_____ Other:

Signature of Certifying Official

Date

Name of Certifying Official

This form must be signed by the Chief Administrative Official (mayor, county commission chair, county administrator, city manager, or designated official as authorized by the CDBG Resolution of Certifications of Compliance). Please clearly state the official's name and title.

SAMPLE RESOLUTION WITH CERTIFICATIONS OF COMPLIANCE

Planning-Only Grant Version

WHEREAS, *(Insert name of city, town, or county here)* is applying to the state Department of Commerce for funding assistance;

WHEREAS, it is necessary that certain conditions be met as part of the application requirements;

WHEREAS, *(Insert the name of chief administrative official and title here)* is authorized to submit this application to the State of Washington on behalf of *(name of city, town, or county)*;

NOW, THEREFORE, be it resolved that the *(Insert the name of city, town, or county here)* authorizes submission of this application to the state Department of Commerce to request \$ *(amount of funding requested)* to *(project description)*, and certifies that, if funded, it:

Will comply with applicable provisions of Title I of the Housing and Community Development Act of 1974, as amended, and other applicable state and federal laws;

Has provided opportunities for citizen participation comparable to the state's requirements (those described in Section 104(a)(2)(3) of the Housing and Community Development Act of 1974, as amended); and has complied with all public hearing requirements and provided citizens, especially low- and moderate-income persons, with reasonable advance notice of and the opportunity to present their views during the assessment of community development and housing needs, during the review of available funding and eligible activities, and on the proposed activities;

Has provided technical assistance to citizens and groups representative of low- and moderate-income persons that request assistance in developing proposals;

Will provide opportunities for citizens to review and comment on proposed changes in the funded project and program performance;

Will not use assessments against properties owned and occupied by low- and moderate-income persons or charge user fees to recover the capital costs of CDBG-funded public improvements from low- and moderate-income owner-occupants;

Will establish a plan to minimize displacement as a result of activities assisted with CDBG funds; and assist persons actually displaced as a result of such activities, as provided in the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended;

Will conduct and administer its program in conformance with Title VI of the Civil Rights Act of 1964 and the Fair Housing Act; will affirmatively further fair housing (Title VIII of the Civil Rights Act of 1968); has adopted (or will adopt) and enforce a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations; and has adopted (or will adopt) and implement a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location that is the subject of such nonviolent civil rights demonstration within its jurisdiction, in accordance with Section 104(1) of the Title I of the Housing and Community Development Act of 1974, as amended; and

(Insert name of city, town, or county here) designates *(Insert name of city manager, county administrator, mayor here)* as the authorized Chief Administrative Official and the authorized representative to act in all official matters in connection with this application and *'s (Insert the name of city, town or county here)* participation in the State of Washington CDBG Program.

Signature _____

Date _____

Name _____

Title _____

Attested _____

Date _____

RESOLUTION WITH CERTIFICATIONS OF COMPLIANCE INSTRUCTIONS

The applicant's local legislative body must pass a resolution authorizing the chief administrative official to submit the CDBG application to the Department of Commerce and certifying compliance with state and federal laws and specific program requirements. Visit the CDBG website at www.commerce.wa.gov/cdbg under the Management Handbook webpage for the current CDBG contract terms and conditions.

Access the electronic version of this resolution on the CDBG website under the General Purpose Grant webpage or retype the sample, and insert the local and project specific information as indicated. This resolution may be reformatted to meet the local government's requirements for official resolutions. Do not change the wording of the clauses without prior approval from the CDBG program.

Amount Requested

The CDBG amount you list in the resolution must not be less than the actual CDBG amount requested in the application budget. It is recommended this resolution be adopted after the CDBG amount to be requested is finalized.

Signature

The resolution must be signed by the authorized chief administrative official, and a signed copy must be included with the application. The chief administrative official is the mayor, county commission chair, county administrator or city manager.

If Funded

If funded, Commerce will collect the following documents as identified in these certifications prior to executing a CDBG contract:

1. Residential Anti-Displacement and Relocation Assistance Plan
2. Excessive Force Policy

Samples of these documents are available on the CDBG website or upon request.

WARNING! A resolution that references another project submitted previously for CDBG funding will not be accepted. Using a version of the certifications of compliance from a prior year CDBG application handbook may not be accepted.

CITIZEN PARTICIPATION DOCUMENTATION

At least one public hearing must be conducted by the city/town or county applicant prior to submitting the CDBG application. The public hearing is to obtain citizens' views on community development and housing needs and to receive input on proposed projects under consideration for CDBG funding.

Complete this form by following the steps below to meet the CDBG citizen participation requirements and submit with your CDBG application.

- Check all **Yes** or **No** statements. Check **No** if not applicable.
- Other than the assessment steps, there must be a **Yes** answer for each step to meet the CDBG citizen participation requirements.
- Further instructions, such as paths to census data, are located at the end of [Appendix B-2](#).
- **Attach** the required documentation to this form with your CDBG application.

PUBLIC HEARING STEPS		
ASSESSMENT	YES	NO
<p>There is a significant number of non-English speaking residents in the community to require additional outreach steps for the public hearing.</p> <p>1. Using current census data for the local government, locate the percentage of population that speaks English less than "very well." If it is more than 10%, it is reasonable to expect non-English speaking residents could be interested in the public hearing, so check Yes. Otherwise, go to 2.</p> <p>2. If the beneficiaries of the proposed project will be largely non-English speaking residents (such as a child care facility for farmworker families), then it is reasonable to expect non-English speaking residents could be interested in the public hearing, so check Yes. Otherwise check No.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>If you check No based on other reasons, state them here:</p> 		
NOTICE DEVELOPMENT	YES	NO
<p>Develop the CDBG public hearing notice by one of the following steps:</p> <p>1. I used the CDBG notice sample in Appendix B-3.</p> <p>2. I received CDBG approval to use a notice with other wording than the CDBG sample.</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
<p>The public hearing notice states the hearing room is handicap-accessible and accommodations for persons with special needs will be made upon request.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Because I answered YES under the ASSESSMENT step above, the notice states an interpreter will be available (<i>even without advance request</i>).</p>	<input type="checkbox"/>	<input type="checkbox"/>

ADVERTISEMENT	YES	NO
The notice is advertised at least one week prior to the hearing date.	<input type="checkbox"/>	<input type="checkbox"/>
The notice meets local public hearing notice requirements.	<input type="checkbox"/>	<input type="checkbox"/>
Because I answered YES under the ASSESSMENT step above, the notice was advertised in the alternate language (check at least one of the following steps):		
1. The notice in the alternative language was published in a newspaper.	<input type="checkbox"/>	<input type="checkbox"/>
2. The public hearing was announced on radio or television station in the alternate language.	<input type="checkbox"/>	<input type="checkbox"/>
3. The notice in the alternate language was posted at location(s) frequented by non-English speaking residents. List location(s): • _____ • _____	<input type="checkbox"/>	<input type="checkbox"/>
CONDUCTING THE PUBLIC HEARING	YES	NO
The public hearing was held within 18 months of the date the CDBG application was submitted.	<input type="checkbox"/>	<input type="checkbox"/>
The public hearing was held by the applicant local government.	<input type="checkbox"/>	<input type="checkbox"/>
Minutes of the public hearing of the public hearing.	<input type="checkbox"/>	<input type="checkbox"/>
Both of the following required CDBG handouts were distributed at the public hearing. 1. CDBG Program Fact Sheet 2. CDBG Citizen Participation Regulations	<input type="checkbox"/>	<input type="checkbox"/>
Because I answered YES under the ASSESSMENT step above, alternate-language versions of the required handout were provided.	<input type="checkbox"/>	<input type="checkbox"/>
<i>Spanish versions of the handouts are available in Appendix B-5 and on the CDBG website.</i>		
CITIZEN PARTICIPATION DOCUMENTATION	YES	NO
A copy of the public hearing notice's affidavit of publication OR a copy of the actual published notice from the newspaper is attached.	<input type="checkbox"/>	<input type="checkbox"/>
Because I answered YES under the ASSESSMENT step above, documentation of the outreach steps taken for non-English speaking residents (such as a copy of the translated notice from the newspaper or public hearing posters in the alternate language) is attached.	<input type="checkbox"/>	<input type="checkbox"/>
The public hearing minutes are attached.	<input type="checkbox"/>	<input type="checkbox"/>
<i>If the official minutes are not available by the CDBG application due date, instead include a statement from the clerk indicating when the minutes will become available and send the minutes as soon as possible.</i>		
A copy of the local government's adopted Grievance Procedure is attached.	<input type="checkbox"/>	<input type="checkbox"/>
<i>A sample is available in Appendix B-4. The Grievance Procedure can be the local government's complaint process if it meets the standards of the CDBG citizen participation regulations. The ADA Grievance Procedure does not apply.</i>		
The CDBG Certifications of Compliance have been signed certifying the citizen participation requirements have been met.	<input type="checkbox"/>	<input type="checkbox"/>

CONTACT LIST FOR APPLICANT, PARTNERS AND INTERESTED PARTIES

PROGRAM	CONTACT PERSON	PHONE AND E-MAIL

Provide this information to document participation of all appropriate project partners and to supply contact information for potential consultation by the CDBG program.

UTILITY RATE ANALYSIS

Fill out this form for all RATE-BASED projects (sewer, water stormwater). For projects involving more than one system please fill out separate work sheets for each system.

This form is available on-line at: www.commerce.wa.gov/cdbg and when filled in, will calculate the Affordability Index for your project (see on-line instructions for explanation of Affordability Index). If you prefer CDBG staff to determine the affordability index for your project, fill in this form. Otherwise, attach a copy of the on-line version.

Section 1: General Information	Applicant's Answer				
Applicant Jurisdiction					
Subrecipient					
Project (sewer, water, stormwater)					
2011 Median Household Income (MHI) of city/town, census designated place (CDP) or county. Refer to instructions.	Source:				
Section 2: Project Information	Applicant's Answer				
Total Estimated Project Cost	\$				
Other Funding Sources (must name source)	Amount	Loan Rate	Loan Term		
Loan 1:	\$				
Loan 2:	\$				
Loan 3:	\$				
Grant 1:	\$				
Grant 2:	\$				
Local government and/or subrecipient contribution	\$				
CDBG Request	\$				
Section 3: Demographic and Rate Information	Applicant's Answer				
Demography	2011	2012E	2013E	2014E	2015E
Number of Residential Connections					
Number of Commercial Connections					
Number of Other Connections (e.g. vacant lots)					
Total number of Equivalent Residential Units (ERU)					
Rate Information	2011	2012E	2013E	2014E	2015E
Monthly Basic Rate					
Additional Residential Rate per 100 cubic feet (CF)					
Average Monthly Cubic Feet (CF) Consumption per ERU					
Average Monthly Rate per ERU before Debt Service					

INSTRUCTIONS FOR UTILITY RATE ANALYSIS FORM

This is a tool to help CDBG staff analyze financial need. Use one worksheet per project type. If your project includes both a sewer and a water project for example, fill in a separate worksheet for sewer and one for water.

Note: If you have already filled in this form on-line, you can copy that form and submit it instead of this form.

Section 1: General Information

Applicant jurisdiction: Name of city, town, county or census designated place applying for grant.

Subrecipient (if applicable): Name of subrecipient which will benefit from the project.

Project: List type of project such as sewer, water or stormwater that is funded at least in part by a rate charged to consumers of the service.

Median household income: Click on "[this list](#)" to be connected to a list of cities, towns and Census Designated Places (CDP's) and enter the appropriate median household income (MHI) for the project beneficiaries. If unable to link, refer to the 2011 Median Household Income Chart on the CDBG website.

If the project is taking place outside the boundaries of a city, town or census designated place use the county MHI (use OFM census information from [this link](#)). If unable to link, refer to the county median household income chart on the CDBG website.

Section 2: Project Information

List total estimated project cost:

List all loans by source, dollar amount, loan rate and loan rate term. If your project has more than 3 different loan sources, you can combine more than one per line and add amounts together if they have similar loan rates and terms. If they don't, contact CDBG staff for assistance.

List all grant sources and grant amounts. If your project has more than 2 different grant sources, you can combine more than one per line and add amounts together.

List local government and/or subrecipient contribution (you can combine them).

List the CDBG request.

Section 3: Demographic and Rate Information

Under Demography, list total number of residential, commercial and other connections for your sewer, water or stormwater project's benefit area for 2011. Estimate the number of connections per type of connection for 2012 through 2015.

List the number of equivalent residential units (ERU). ERU stands for the equivalent amount of storm water runoff, water used or sewage flowing from an average single family residential unit.

Under Rate information, list the monthly basic rate customers are charged for their use of the service.

List additional residential rate per 100 cubic feet of sewer, water or stormwater that might be used.

List monthly average cubic feet consumption per equivalent residential unit (ERU).

List average monthly rate per ERU before debt service for the project (if applicable).

WATER PLANNING REVIEW BY DEPARTMENT OF HEALTH

Please submit this form with your CDBG Planning-Only Grant application. Your application will not be complete until a pre-plan meeting with the Dept. of Health is held, and documented on this form. Only completed applications will be considered for CDBG Planning-Only Grant funding.

Section 1 – To be completed by the Planning-Only Grant Applicant

Contact Information	
Applicant (Jurisdiction):	
Project Name:	
Estimated Planning Costs:	

Pre-Plan Meeting Information	
Date of Meeting:	
Participants:	

- ☐ A copy of the notes from the pre-plan meeting is attached.
- ☐ This project may be or will be funded by DOH. Please explain:

Section 2 – To be completed by the Department of Health

DOH Contact (Name and Title):	
Agency Contact Phone:	
Agency Contact Email:	

Small Water System Management Program									
<input type="checkbox"/>	The Scope of Work (SOW) to be funded by this grant intends to meet the requirements of WAC 246-290-105 as a Small Water System Management Program, if completed as outlined in the pre-plan meeting.								
	<table border="1"> <thead> <tr> <th align="left">Project Type (Check One)</th> <th align="left">Why is this plan proposed? (Check One or More)</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/> New SWSMP</td> <td><input type="checkbox"/> Bilateral Compliance Agreement</td> </tr> <tr> <td><input type="checkbox"/> Update SWSMP</td> <td><input type="checkbox"/> Departmental Order</td> </tr> <tr> <td><input type="checkbox"/> Other:</td> <td><input type="checkbox"/> Other:</td> </tr> </tbody> </table>	Project Type (Check One)	Why is this plan proposed? (Check One or More)	<input type="checkbox"/> New SWSMP	<input type="checkbox"/> Bilateral Compliance Agreement	<input type="checkbox"/> Update SWSMP	<input type="checkbox"/> Departmental Order	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:
Project Type (Check One)	Why is this plan proposed? (Check One or More)								
<input type="checkbox"/> New SWSMP	<input type="checkbox"/> Bilateral Compliance Agreement								
<input type="checkbox"/> Update SWSMP	<input type="checkbox"/> Departmental Order								
<input type="checkbox"/> Other:	<input type="checkbox"/> Other:								
<input type="checkbox"/>	In addition to the requirements of WAC 246-290-105 we are requiring the following elements. Please list additional elements in the space below (e.g., hydraulic system analysis or capacity analysis):								
<input type="checkbox"/>	Although none of the elements of SWSMP require the stamp of a professional engineer, we believe that this system would benefit from an engineer preparing the following elements. Please list the elements below (e.g., cross-connection control program; wellhead protection program; etc.).								
<input type="checkbox"/>	Another entity could provide help with certain elements. Please list any suggested resources (e.g., Evergreen Rural Water of Washington; Rural Community Assistance Corporation, local expertise) and identify the related elements in the space below.								
<input type="checkbox"/>	The Scope of Work (SOW) to be funded by this grant intends to effectively move the community towards addressing a local public health and safety risk. (Please briefly explain how in the space below.)								

Water System Plan

<input type="checkbox"/>	The Scope of Work (SOW) to be funded by this grant intends to meet the requirements of WAC 246-290-100 as a Water System Plan.				
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%; text-align: left; padding: 2px;">Project Type (Check One)</th> <th style="width: 50%; text-align: left; padding: 2px;">Why is this plan proposed? (Check One or More)</th> </tr> <tr> <td style="padding: 2px;"> <input type="checkbox"/> New WSP <input type="checkbox"/> Update WSP </td> <td style="padding: 2px;"> <input type="checkbox"/> Six-year update as required by RCW <input type="checkbox"/> Expanding system <input type="checkbox"/> Bilateral Compliance Agreement <input type="checkbox"/> Departmental Order <input type="checkbox"/> Other: </td> </tr> </table>		Project Type (Check One)	Why is this plan proposed? (Check One or More)	<input type="checkbox"/> New WSP <input type="checkbox"/> Update WSP	<input type="checkbox"/> Six-year update as required by RCW <input type="checkbox"/> Expanding system <input type="checkbox"/> Bilateral Compliance Agreement <input type="checkbox"/> Departmental Order <input type="checkbox"/> Other:
Project Type (Check One)	Why is this plan proposed? (Check One or More)				
<input type="checkbox"/> New WSP <input type="checkbox"/> Update WSP	<input type="checkbox"/> Six-year update as required by RCW <input type="checkbox"/> Expanding system <input type="checkbox"/> Bilateral Compliance Agreement <input type="checkbox"/> Departmental Order <input type="checkbox"/> Other:				
<input type="checkbox"/>	In addition to the requirements of WAC 246-290-100 we are requiring the following elements. Please list additional elements in the space below:				
<input type="checkbox"/>	Another entity could provide help with the elements listed. Please list any suggested resources (e.g., Evergreen Rural Water of Washington; Rural Community Assistance Corporation, local expertise) in the space below.				
<input type="checkbox"/>	The Scope of Work (SOW) to be funded by this grant intends to effectively move the community towards addressing a local public health and safety risk. (Please briefly explain how in the space below.)				

Other Types of Water Plans

<input type="checkbox"/>	The proposed plan addresses requirements in WAC/RCW rules/regulations. (Please explain below.)					
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 45%; text-align: left; padding: 2px;">Project Type (Check One):</th> <th style="width: 55%; text-align: left; padding: 2px;">Why is this plan proposed? (Check One)</th> </tr> <tr> <td style="padding: 2px;"> <input type="checkbox"/> Feasibility Study <input type="checkbox"/> Consolidation Study <input type="checkbox"/> Other: </td> <td style="padding: 2px;"> <input type="checkbox"/> Departmental Order <input type="checkbox"/> Expanding system <input type="checkbox"/> Bilateral Compliance Agreement <input type="checkbox"/> Other: </td> </tr> </table>			Project Type (Check One):	Why is this plan proposed? (Check One)	<input type="checkbox"/> Feasibility Study <input type="checkbox"/> Consolidation Study <input type="checkbox"/> Other:	<input type="checkbox"/> Departmental Order <input type="checkbox"/> Expanding system <input type="checkbox"/> Bilateral Compliance Agreement <input type="checkbox"/> Other:
Project Type (Check One):	Why is this plan proposed? (Check One)					
<input type="checkbox"/> Feasibility Study <input type="checkbox"/> Consolidation Study <input type="checkbox"/> Other:	<input type="checkbox"/> Departmental Order <input type="checkbox"/> Expanding system <input type="checkbox"/> Bilateral Compliance Agreement <input type="checkbox"/> Other:					

Other comments:

SEWER PLANNING REVIEW BY DEPT. OF ECOLOGY

Please submit this form with your CDBG Planning-Only Grant application. Your application will not be complete until a pre-plan review is documented by the appropriate regulatory agency. Only complete applications will be considered for CDBG Planning-Only Grant funding.

Section 1 – To be completed by the Planning-Only Grant Applicant

Contact Information

Applicant (Jurisdiction):	
Project Name:	
Estimated Planning Costs:	

Section 2 – To be completed by the Department of Ecology

ECY Contact (Name and Title):	
Agency Contact Phone:	
Agency Contact Email:	

☐ This project may be or will be funded by ECY. Please explain:

General Sewer Plan and/or Engineering Report

<input type="checkbox"/>	The Scope of Work (SOW) to be funded by this grant intends to meet the requirements of WAC 173-240.			
	Project Type (Check One)		Why is this plan proposed? (Check All that Apply)	
	<input type="checkbox"/> New GSP	<input type="checkbox"/> Update GSP	<input type="checkbox"/> PMAC	<input type="checkbox"/> Agreed Order
	<input type="checkbox"/> New ER	<input type="checkbox"/> ER Amendment	<input type="checkbox"/> TMDL	<input type="checkbox"/> Third-party Lawsuit under Clean Water Act
	<input type="checkbox"/> New Combined GSP-ER	<input type="checkbox"/> Update GSP & ER Amendment	<input type="checkbox"/> Permit Requirement	<input type="checkbox"/> Preparing to Upgrade existing facilities
			<input type="checkbox"/> ECY Application requirement	<input type="checkbox"/> Other:
<input type="checkbox"/>	In addition to the requirements of WAC 173-240 we are requiring the following elements. Please list additional elements in the space below:			
<input type="checkbox"/>	The Scope of Work (SOW) to be funded by this grant intends to effectively move the community towards addressing a critical local public health and safety risk. (Please briefly explain how in the space below.)			

Other Sewer-related Plan

(e.g. hydro-geology study, environmental review, mixing zone analysis, I & I study, etc.)

<input type="checkbox"/>	The Scope of Work (SOW) to be funded by this grant intends to meet the requirements of the following WAC/RCW. (Identify in space below.)			
	Project Type (Check One)		Why is this plan proposed? (Check All that Apply)	
	<input type="checkbox"/> New	<input type="checkbox"/> PMAC	<input type="checkbox"/> Agreed Order	
	<input type="checkbox"/> Update	<input type="checkbox"/> TMDL	<input type="checkbox"/> Third-party Lawsuit under Clean Water Act	
	<input type="checkbox"/> Other:	<input type="checkbox"/> Other:	<input type="checkbox"/> Preparing to Upgrade existing facilities	
<input type="checkbox"/>	In addition to the requirements of WAC/RCW we are requiring the following elements. Please list additional elements in the space below:			

Instructions for completing the REGULATORY AGENCY REVIEW FORMS

There is a separate form for water planning projects and another form for sewer planning projects. If your project is neither of these types, then you do not need to submit either of these forms.

It is the applicant's responsibility to have the appropriate regulatory agency complete the second section of this form and return it to the applicant, who will submit it with their application. An application related to water or sewer projects will not be considered "complete" until the appropriate regulatory agency has reviewed the proposed planning process, and their review is documented on the appropriate form. Only complete applications will be considered for CDBG Planning-Only Grant funding.

Section 1: The applicant should fill in the contact information, identifying the local jurisdiction applying for a Planning-Only Grant, a name that identifies the type of plan being proposed, and the projected costs to develop the plan.

Section 2: The regulatory agency contact should complete Section 2 and return it to the applicant, who will submit it with the rest of their application. These forms contain several statements that (if true) should be checked off. Only the statements that relate to the type of plan proposed need to be addressed. There is a space below many of the statements for explanatory comments or more information.

Agency Contacts:

Department of Health Regional Planners			
Region/Counties	Name	Phone	Email
Southwest: Clallam, Jefferson, Kitsap, Mason, Pacific, and Cowlitz	Corina Hayes	(360) 236-3031	Corina.Hayes@DOH.WA.GOV
Southwest: Grays Harbor, Thurston, Lewis, Skamania, Wahkiakum, and Clark	Darin Klein	(360) 236-3038	Darin.Klein@doh.wa.gov
Northwest: Whatcom, Snohomish, King, and San Juan	Richard Rodriguez	(253) 395-6771	Richard.Rodriguez@DOH.WA.GOV
Northwest: Skagit and Island	Jennifer Kropack	(253) 395-6769	Jennifer.Kropack@DOH.WA.GOV
Northwest: Pierce	Richard Rodriguez & Jennifer Kropack	(253) 395-6771 (253) 395-6769	Richard.Rodriguez@DOH.WA.GOV Jennifer.Kropack@DOH.WA.GOV
Eastern: Adams, Whitman, Franklin, Yakima, Klickitat, Benton, Walla Walla, Columbia, Garfield, and Asotin	Christine Collins	(509) 329-2122	Christine.Collins@DOH.WA.GOV
Eastern: Chelan, Okanogan, Douglas, Ferry, Stevens, Pend Oreille, Lincoln, Spokane, and Kittitas	Heather Cannon	(509) 329-2121	Heather.Cannon@DOH.WA.GOV

Department of Ecology Regional Engineers			
Region	Name	Phone	Email
Central: Benton, Chelan, Douglas, Kittitas, Klickitat, Okanogan, and Yakima	Sanjay Barik	(509) 454-4247	saba461@ecy.wa.gov
Eastern: Adams, Asotin, Columbia, Ferry, Franklin, Garfield, Grant, Lincoln, Pend Oreille, Spokane, Stevens, Walla Walla, and Whitman	Richard Koch	(509) 329-3519	rkoc461@ecy.wa.gov
Northwest: Island, King, Kitsap, San Juan, Skagit, Snohomish, and Whatcom	Kenneth Ziebart	(425) 649-7164	kzie461@ecy.wa.gov
Southwest: Clallam, Clark, Cowlitz, Grays Harbor, Jefferson, Mason, Lewis, Pacific, Pierce, Skamania, Thurston, and Wahkiakum	Dave Dougherty	(360) 407-6278	ddou461@ecy.wa.gov

Why it is important to have your proposed planning process reviewed by the regulatory agency

Competition for CDBG Planning-Only Grant funding for water and sewer projects has become very high. We typically get more requests than we can fund. And we often get requests at the maximum levels allowed, without much evidence to support that level of funding is really needed to develop the proposed plan. We know that applicants who have done the appropriate level of planning usually result in successful projects.

Commerce wants to make sure jurisdictions seeking CDBG Planning-Only Grant funding have the guidance of the regulatory agency, in determining the appropriate level of planning, prior to submitting a request to fund a water-planning or sewer-planning project. These types of planning projects have specific required elements, and we want to make sure you are proposing the best type of plan for both your local needs and the regulatory mandates.

By discussing your planning needs with the appropriate regulatory agency, you get their help in developing the most useful plan for your water or sewer system. Commerce looks to the experts within the regulatory agencies for help in assessing whether your proposed planning activities will result in the best plan for your needs, and other facts that will be considered in the rating and selection process. There is no additional charge for a pre-plan meeting with either the Department of Health or the Department of Ecology.

The Department of Health has a pre-plan meeting process. The Department of Ecology may want to have a meeting with you, or they may want to have a phone or email discussion. It is important to have all the key players at your pre-plan meeting/discussions. This includes the system decision makers, consultants and system operators. At a typical meeting, you will discuss the content of your proposed planning document. The regulatory agency will ask you about key aspects of your system including your customer base, future growth plan, and capital improvement plans. If you are doing a plan update, be prepared to talk about what changed since your last plan was approved.

We encourage the applicant to take an active role in your plan's development. This is not a task to turn over entirely to a consultant. The regulatory agency will discuss the role of the professional engineer during the pre-plan meeting. We want to make the best use of your local resources and the state's resources.

WORK PLAN

When do you expect activities to be completed? Please document month and year.

Note: Planning-Only Grants are generally two-year contracts (from contract start date to contract end date).

You can use the "Other" lines or insert lines for additional planning project tasks.

Tasks	Responsible Party	Start Date	End Date
Establish administrative systems			
Negotiate and execute CDBG contract with Commerce			
Establish Subrecipient Agreement, if applicable			
Complete NEPA/SEPA exemption form			
Procure Professional Services			
Collect and analyze data			
Review study or plan (as applicable)			
Complete Study or Plan (as applicable)			
Submit to regulatory agency for review, if applicable			
Conduct final public hearing			
Close out CDBG contract			
Other:			
Other:			
Other:			
Other:			

WORK PLAN INSTRUCTIONS

Task	Instructions
Establish administrative systems	Set up file system, identify responsible parties for managing different aspects of the grant
Negotiate and execute CDBG contract with Commerce	Typically takes at least 8 weeks for negotiation of the grant contract and to obtain signatures from the jurisdiction and Commerce management.
Establish Subrecipient Agreement, if applicable	Subrecipients are organizations that will receive CDBG funds to implement the project on behalf of the local government and will benefit from the funds. Examples include public utility districts, economic development agencies, or community action agencies. A sample subrecipient agreement is available on the CDBG website.
Complete NEPA/SEPA exemption form	Planning activities are categorically exempt under SEPA and categorically excluded under NEPA. Complete Determination of Exemption (NEPA) Categorical Exemption (SEPA) form. See attachment 4C of the CDBG Non-construction Management Handbook which you will receive with your award letter, if funded. The handbook can also be found online via this link: http://www.commerce.wa.gov/UPLOADS/lg/2010NonConstructionManagementHandbook.zip
Procure professional services	Professional services consultants including engineers, architects and project managers, must be procured following CDBG procurement requirements to be funded by CDBG. (See Appendix C.) Because of CDBG timing requirements, you may choose to fund professional services with non-CDBG funds.
Collect and Analyze Data	Break this task down into as many steps as necessary to complete the action of collecting and analyzing data. List the responsible party, and estimate how much time each action item will take.
Review Study or Plan (as applicable)	Estimate adequate time for consultations with regulatory agencies, any local government approval applicable, or other review steps.
Complete Study or Plan (as applicable)	Estimate the time to complete the study or plan.
Submit to Regulatory Agency, if applicable	List the responsible party and approvals needed. Provide adequate review time for agency review.
Conduct Final Public Hearing	List the responsible party. Estimate when the required final CDBG public hearing to review project performance will be scheduled.
Close out CDBG contract	Date when all financial and contractual requirements will be met.

BUDGET FORMS AND INSTRUCTIONS

There are two budget components in this application:

- 1) Budget Assumptions, below
- 2) Project Budget Form, on the next page

COMPONENT 1. BUDGET ASSUMPTIONS INSTRUCTIONS

There is no specific format for providing the budget assumptions, but they are an important element of your application and should clearly correspond with the amounts listed in budget forms. This is your opportunity to demonstrate you have clearly thought through all financial aspects of the project and have solid rationale for the administration and project costs and the need for CDBG investment to make the project successful.

Tell us how you built the budget, explaining how you derived costs for each activity cost of the budget form. Your assumptions should include:

- How this budget is reasonable and appropriate considering the scope, substance, and duration of the proposed project.
- The basis and the assumptions behind the activity cost calculations. Be detailed and specific.
- Detail on any equipment purchases using CDBG funds over \$300.
- Source documentation of the costs, such as an engineer's preliminary cost detail. If lengthy, these documents can be referenced and included as an attachment in the application.

PROVIDE THOROUGH BUDGET ASSUMPTIONS FOR EACH ACTIVITY COST

Add pages as needed to complete your assumptions.

PROJECT BUDGET

Use a second copy of this form if you have more than 4 funding sources

Funding Status	Source 1	Source 2	Source 3	Source 3	Totals
Are the sources committed? If not, give a date when commitment expected.	CDBG	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Name of Local Government			
Activity Costs					
General Administration- POG cannot pay for this.					
Planning Activities					
Personnel – <i>Staff time conducting planning activities</i>					
Professional Services					
Project Related Expenses					
Other:					
Other:					
Totals					

Make sure these totals match the item # 11 on the Project Summary Sheet.

COMPONENT 2. PROJECT BUDGET FORM INSTRUCTIONS

Provide the total budget of the proposed CDBG project, subdivided by activity costs. Request only the level of funding needed to carry out the project. The grant request must be sufficient either by itself or included with other proposed funding sources to assure effective administration and completion of the proposed project within the contract period.

Source - List the allocation of CDBG funds among activity costs in the Source 1 column. For local budgeting purposes, the Catalog of Federal Assistance (CFDA) number for the state CDBG program is 14.228.

State the name of another funding source at the top of each column (above the yes/no boxes) and list its allocation among the activity costs. Source 2 should be the local government's contribution, including in-kind resources.

Funding Status - For each funding source, indicate whether there is a firm funding commitment or not by checking the appropriate yes/no box. If no, please use the space under the yes/no boxes to indicate when a firm commitment is expected. Provide letters of award or commitment, or a final loan list from each committed funding source.

General Administration - All applicants must complete the General Administration activity cost line. ***Planning-Only Grant applications cannot fund general administration costs.*** General administration costs can be covered through local cash or in-kind contributions, and they should be included here.

General Administration activities can include:

- Attendance at the CDBG grant management workshop by the local government staff responsible for CDBG general administration. (Workshop is not required for Planning-Only Grants. It is generally offered in May or June.)
- Review and execution of the CDBG contract
- Establishment of CDBG files and record keeping
- Processing and tracking grant payment requests and receipts
- Compliance with civil rights activities including fair housing activities, Section 504, ADA, and Title VI
- Subrecipient oversight and monitoring
- Grant close-out activities, including conducting final CDBG public hearing

Costs to include when computing the General Administration activity costs and to detail in the Budget Assumptions include:

- **Personnel** - Compute all local government salaries, wages, and fringe benefits to be paid for general administration of the grant.
- **Office Costs** - Compute the costs of supplies. Include postage costs, telephones, equipment leasing costs, printing and publication costs, and office costs. Publishing fair housing resolutions can also be costly and should be considered when preparing the budget.
- **Professional Services** - Compute legal costs, audit and other general administration (not project) activity costs provided through professional service contracts, rather than staff. Engineering and

Planning activities can be conducted by staff or by a consultant. To be eligible for CDBG reimbursement, staff must maintain payroll records or a consultant must be procured following CDBG requirements.

other technical services are entered under Planning Activities/Professional Services activity costs.

- Other - Applicants should take into consideration any other administrative costs or expenses that may be incurred prior to administrative closeout.

Total these general administration costs and enter under the General Administration activity cost line, in the column for Source 2.

Planning Activities:

Personnel – While most Planning-Only Grant requests are to fund professional services, in some cases local government staff or subrecipient staff will be conducting some or all of the planning activities. In these cases, compute and list personnel costs here. These costs can include salaries, wages, and fringe benefits. To be eligible for CDBG reimbursement, staff must maintain payroll records demonstrating these costs are directly related to conducting the planning activities (not general administration).

Professional Services - Enter estimated costs associated with the use of professional services such as a planning consultant, architect, or engineer to conduct the planning activities.

Project Related Expenses – Eligible costs can include printing, postage, or other non-staff costs directly related to the planning project. Do not include costs to be paid through a professional services agreement.

Totals - Enter a CDBG total and the totals for each funding source including the local government's cash and in-kind contribution at the bottom of the respective columns. Enter the totals for each activity cost line at the far right column. And calculate the total project. These totals should match those amounts listed on your application's Project Summary.

SECTION 2

NARRATIVES

This section contains specific questions and rating criteria that must be addressed in your narrative statements. More points will be assigned to applications with quantifiable statements backed up by supporting documentation.

1. Project Description
2. Need Statement
3. Capacity Statement
4. Readiness Statement
5. Results Statement

All materials are available on our website at www.commerce.wa.gov/cdbg under Planning-Only Grant.

NARRATIVE INSTRUCTIONS

All applications must demonstrate that proposed projects meet the following conditions:

- ✓ There is a compelling need for public assistance.
- ✓ A feasible technical solution to the problem or opportunity being addressed has been identified and agreed to by affected citizens, the local government, and the appropriate regulatory agencies.
- ✓ There is a clear and feasible plan for implementing the project and maintaining its operation into the foreseeable future.
- ✓ There is credible evidence that the results will be commensurate to the amount of public funds requested.

The application narrative is one of the most critical parts of your CDBG application. Your narrative statements must tell the story of a project well enough for Commerce to invest limited federal funds and for competitive CDBG applications to be compared. Scores are based on responses to the narrative questions and they are structured to help you achieve the highest possible score.

The responses to narrative questions will be rated based on the project description, need for the project, capacity of the applicant to implement and support the project, readiness to proceed with implementation, and results if funded. Together, these form the basis of any good project – not just a CDBG project.

Inadequate or missing information will result in a lower score.

Use the questions to organize your narrative statements. The questions should not require the assistance of a professional grant writer. By working the questions sequentially, you be able to see where the project is strong or weak in terms of its overall development.

It is recommended you present your answers in an outline format that corresponds to the numbering system within each category. This will help the rating team connect your answers to the questions

We may contact people whose names are provided on the project Contact List or other experts to verify or clarify information in an application.

Project Description



Your Project Description will be evaluated as part of NEED, CAPACITY, READINESS and RESULTS.

Describe your proposed plan and its components to give reviewers a clear view of what CDBG is being asked to fund.

1. What is the proposed plan?

- a. List all essential components.
- b. Briefly describe the most likely future community development project that will result from the proposed planning activity.
- c. If the plan is phased, briefly describe the CDBG-funded activities and explain how they fit within this phased approach.
- d. Provide a map of the proposed plan's service area.

FOR PROJECTS REQUESTING MORE THAN \$24,000 UP TO \$35,000:

2. Please explain how you have met all the criteria required for the higher level of funding.

If you have adequately addressed a criteria in one of the other narrative sections, you may reference it here, rather than repeat your answer.

- a. How does the proposed project address a **critical** public health and safety risk?
- b. What compliance issue (as confirmed by a regulatory agency such as WA State Department of Health or Department of Ecology) does this project address?
- c. What extreme financial hardship is the community facing? For water/sewer projects, what is the affordability index (see [Utility Rate Analysis](#)) and what is your history and/or plans regarding rate increases?
- d. What other local, federal, and state funding for planning has been sought, and what is the status/result of such efforts?

NEED Statement



25 % WEIGHT

Document the need facing your community and the public process to prioritize the proposed project.

Answer the following questions clearly and succinctly. Provide data to support your answers:

- 1. What is the need or problem to be addressed?**
 - a. Define the geographic area and include a map of the local government and the service area for the proposed project.
- 2. Who is affected and how?**
 - a. Tell us the total number of people and any relevant demographic description of the community being served (affected) by this project.
 - b. How are the people affected and what daily hardships do they face due to the problem to be addressed?
 - c. How are low- and moderate-income persons specifically impacted?
 - d. What is the urgency behind the need?
- 3. What official orders or regulatory requirements relate to this project?**
 - a. Have you met with the regulatory agency? If so, with whom and what was the result? List contact information on the application's Contact List.
 - b. Provide copies of relevant correspondence as an attachment to your application.
 - c. Will this project address any non-compliance circumstance with the regulatory agency? If so, explain.
- 4. What existing plans, studies, reports, or other data explain the need?**
 - a. How is the need further documented by studies, reports or other data?
 - b. Does the planning activity update an existing plan or document? If so, who developed the original plan or document and when was it completed?
 - c. List the documents here and provide excerpts of the relevant sections as an attachment to your application.
- 5. Given the wide range of potentially eligible CDBG planning activities, what led to the prioritization and development of your proposed project?**
 - a. How is this project consistent with your comprehensive plan or recommendations within local planning documents?
 - b. Provide excerpts of the plans' and studies' recommendations as attachments to your application.
 - c. If this project was not identified in local plans, how did it become a priority need to address?
 - d. What other projects were considered and on what basis were projects prioritized?

- e. If you had to fund this project without CDBG funds, would this be the communities' highest priority project to invest their funds in? Please explain the basis of your answer.

6. What was the process used to select this project?

- a. How was the proposal developed? Include key people, target groups, organizations consulted and the process used to involve the public.
- b. Were any other projects discussed at the public hearing or other public forums? How much community input went into the selection of this project?

CAPACITY Statement



25 % WEIGHT

Demonstrate your community's organizational capacity to administer a CDBG grant and the financial need for the level of grant.

Answer the following questions clearly and succinctly and provide data to support your answers:

1. Will there be a subrecipient?

- a. If yes, what is the name of the organization?
- b. Describe how you have worked together in the past.
- c. Describe the organization's experience in similar activities.
- d. Attach the subrecipient's last annual audit (including operating budget).

2. What steps have you (and the subrecipient, if applicable) taken so far to address this need?

- a. What other funding have you applied for to support this proposed project?
- b. How long have you been working toward planning or implementing this project and what have you accomplished so far?

3. What resources will you (and the subrecipient, if applicable) contribute to the project? How did you determine the level of grant needed?

- a. Include revenue, staff, and equipment.

4. How will you manage the project and keep on track with the work plan in this application?

- a. Who will manage the project (list all members of the management team) and what are their qualifications?
- b. How will general grant administration and project management be coordinated between local government staff?
- c. How will grant and project management be coordinated between the local government, subrecipient (if applicable), and procured engineers/architects and other professional services?
- d. If a subrecipient is implementing the project, who will provide oversight and conduct the monitoring of the subrecipient, and how will this be done?

4. Does the local government currently have an open CDBG contract? If so, what is the project status?

5. Does the local government currently have unexpended CDBG program income from an open or closed prior project? (Program income is any income generated from the use of CDBG funds that totals at least \$25,000 in a calendar year.)

- a. If so, how much and from what sources?
- b. Since in most cases local CDBG program income is to be used before drawing down additional CDBG funds, describe your process for tracking and using program income.

READINESS Statement



25 % WEIGHT

Show how your proposed project provides the best solution to the priority need in your community and if funded, the project is ready to go.

Answer the following questions clearly and succinctly and provide data to support your answers:

- 1. What is the proposed project?**
 - a. List all essential components.
 - b. If the project is phased, briefly describe how the CDBG-funded activities fit within this phased approach.
 - c. Provide a map of the service area, outlining the location of the proposed project.
- 2. What other technical options were considered to address the need and why is your proposed option the best?**
- 3. If relevant, are regulatory agencies in agreement that the proposed solution is the right solution?**
 - a. Provide copies of relevant correspondence as an attachment to your application.
- 4. Are all needed funds firmly committed to this project except for the amount requested in this application? If not, when will you have commitments?**
 - a. Provide copies of commitments from funding sources as attachments to your application.
- 5. Is the project ready to proceed? If not, what else must be done?**
 - a. What could delay this project?
 - b. What obstacles do you face that could affect the success of this project if funded, and describe how your work plan addresses these obstacles.

RESULTS Statement



25 % WEIGHT

Explain how the completed project will address the need and benefit low- and moderate-income persons, and how results will be measured

Answer the following questions clearly and succinctly and provide data to support your answers:

- 1. What methods and data will be used to measure project progress and ensure quality standards are achieved?**
 - a. Who will be responsible for this?
- 2. How will the proposed project impact the level of need and make a tangible difference to both the community at large and to low- and moderate-income persons?**
 - a. What are the direct and indirect benefits?
 - b. What are the short- and long-term outcomes?
 - c. What is the impact on utility rates (if applicable)?
 - d. Describe how services will be improved or increased.
- 3. How will you assess the performance of this project as it relates to the specific needs identified in your “Need Statement”?**
 - a. What are your key measures of success for this project?
 - b. What data describes the direct outputs or conditions prior to the project and then after project completion?
 - c. How do these pre- and post-data demonstrate successful outputs and outcomes?
 - d. How are the expected outcomes and outputs commensurate with the amount of CDBG funds requested?
- 4. What are the short and long-term outcomes expected especially for people with low and moderate incomes?**
 - a. What are the impacts on rates, if applicable?
 - b. How will services be improved or increased?
- 5. List the final planning product(s) to be produced as a short-term output.**

SECTION 3

APPENDICES

This section contains reference material to help you understand CDBG requirements that may be new to you and to complete the application.

A. Eligibility

1. Map of Local Governments Served by the State CDBG Program
2. List of Local Governments Served by the State CDBG Program
3. Local Governments with 51 Percent or Greater LMI Population (based on HUD's 2000 Census)
4. 2012 Income Limits
5. Summary of Eligible Planning Activities - Housing and Community Development Act
6. Multiple Local Governments / Joint Applications

B. Citizen Participation

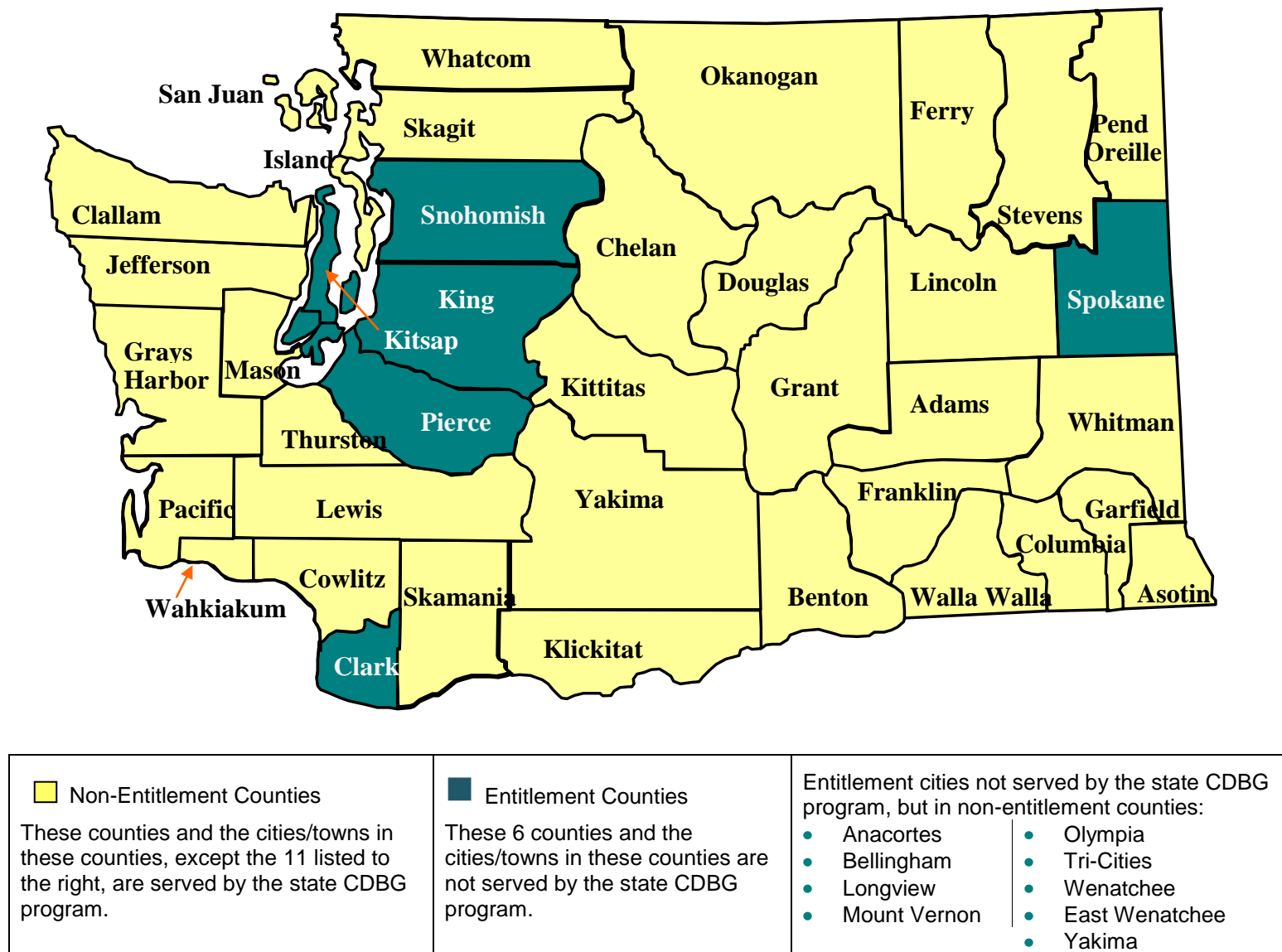
1. Citizen Participation Requirements
2. Detailed Information on Citizen Participation Requirements
3. Sample Public Hearing Notice
4. Sample Grievance Procedure
5. Public Hearing Handouts
 - a. CDBG Fact Sheet (English)
 - b. Citizen Participation Regulations (English)
 - c. CDBG Fact Sheet (Spanish)
 - d. Citizen Participation Requirements (Spanish)

C. CDBG Requirements for Procuring Professional Services

All materials are available on our website at www.commerce.wa.gov/cdbg under Planning-Only Grants.

A-1. MAP OF LOCAL GOVERNMENTS SERVED BY THE STATE CDBG PROGRAM

This map and the following lists show those local governments ineligible for state CDBG funds because they are “entitled” to receive CDBG funds directly from HUD, and those local governments eligible for state CDBG funds but “non-entitled” to receive CDBG funds directly from HUD. The entitlement status is based on population and HUD qualification. This map can be a useful county-level reference, and a complete list of the local governments served by the state CDBG program is on the next two pages.



A-2. List of Local Governments Served by the State CDBG Program

Cities & Towns:

Aberdeen	George	North Bonneville	
Albion	Goldendale	Northport	Toledo
Almira	Grand Coulee	Oak Harbor	Tonasket
Asotin	Grandview	Oakesdale	Toppenish
Benton City	Granger	Oakville	Tumwater
Bingen	Hamilton	Ocean Shores	Twisp
Blaine	Harrah	Odessa	Union Gap
Brewster	Harrington	Okanogan	Uniontown
Bridgeport	Hartline	Omak	Vader
Bucoda	Hatton	Oroville	Waitsburg
Burlington	Hoquiam	Othello	Walla Walla
Cashmere	Ilwaco	Palouse	Wapato
Castle Rock	Ione	Pateros	Warden
Cathlamet	Kahlotus	Pe Ell	Washtucna
Centralia	Kalama	Pomeroy	Waterville
Chehalis	Kelso	Port Angeles	West Richland
Chelan	Kettle Falls	Port Townsend	Westport
Chewelah	Kittitas	Prescott	White Salmon
Clarkston	Krupp	Prosser	Wilbur
Cle Elum	Lacey	Pullman	Wilson Creek
Colfax	La Conner	Quincy	Winlock
College Place	La Crosse	Rainier	Winthrop
Colton	Lamont	Raymond	Yelm
Colville	Langley	Reardan	Zillah
Conconully	Leavenworth	Republic	
Concrete	Lind	Ritzville	
Connell	Long Beach	Riverside	
Cosmopolis	Lyman	Rock Island	
Coulee City	Lynden	Rosalia	
Coulee Dam	Mabton	Roslyn	
Coupeville	Malden	Royal City	
Creston	Mansfield	Sedro Woolley	
Cusick	Marcus	Selah	
Davenport	Mattawa	Sequim	
Dayton	McCleary	Shelton	
Electric City	Mesa	Soap Lake	
Ellensburg	Metaline	South Bend	
Elma	Metaline Falls	South Cle Elum	
Elmer City	Montesano	Sprague	
Endicott	Morton	Springdale	
Entiat	Moses Lake	St. John	
Ephrata	Mossyrock	Starbuck	
Everson	Moxee	Stevenson	
Farmington	Naches	Sumas	
Ferndale	Napavine	Sunnyside	
Forks	Nespelem	Tekoa	
Friday Harbor	Newport	Tenino	
Garfield	Nooksack	Tieton	

Counties:

Adams	Ferry	Klickitat	Skagit
Asotin	Franklin	Lewis	Skamania
Benton	Garfield	Lincoln	Stevens
Chelan	Grant	Mason	Thurston
Clallam	Grays Harbor	Okanogan	Wahkiakum
Columbia	Island	Pacific	Walla Walla
Cowlitz	Jefferson	Pend Oreille	Whatcom
Douglas	Kittitas	San Juan	Whitman
			Yakima

List of Local Governments Not Served by the State CDBG Program**Cities and Towns:**

Airway Heights			
Algona	Edgewood	Medical Lake	Sea Tac
Anacortes	Edmonds	Medina	Seattle
Arlington	Enumclaw	Mercer Island	Shoreline
Auburn	Everett	Mill Creek	Skykomish
Bainbridge Island	Fairfield	Millwood	Snohomish
Battle Ground	Federal Way	Milton	Snoqualmie
Beaux Arts Village	Fife	Monroe	South Prairie
Bellevue	Fircrest	Mount Vernon	Spangle
Bellingham	Gig Harbor	Mountlake	Spokane
Black Diamond	Gold Bar	Terrace	Spokane Valley
Bonney Lake	Granite Falls	Mukilteo	Stanwood
Bothell	Hunts Point	Newcastle	Steilacoom
Bremerton	Index	Normandy Park	Sultan
Brier	Issaquah	North Bend	Sumner
Buckley	Kennewick	Olympia	Tacoma
Burien	Kent	Orting	Tukwila
Camas	Kenmore	Pacific	University Place
Carbonado	Kirkland	Pasco	Vancouver
Carnation	La Center	Port Orchard	Washougal
Cheney	Lake Forest-	Poulsbo	Waverly
Clyde Hill	Park	Puyallup	Wenatchee
Covington	Lake Stevens	Redmond	Wilkeson
Darrington	Lakewood	Renton	Woodinville
Deer Park	Latah	Richland	Woodland
Des Moines	Liberty Lake	Ridgefield	Woodway
Du Pont	Longview	Rockford	Yacolt
Duvall	Lynnwood	Roy	Yakima
East Wenatchee	Maple Valley	Ruston	Yarrow Point
Eatonville	Marysville	Sammamish	

Counties:

Clark	Kitsap	Snohomish
King	Pierce	Spokane

A-3. LOCAL GOVERNMENTS WITH 51 PERCENT OR GREATER LMI POPULATION

(Based on HUD's 2000 Census Data)

NAME	LMI Population	TOTAL Population	LMI Percentage
Almira.....	173.....	321.....	53.9.....
Benton City.....	1,318.....	2,533.....	52.0.....
Bingen.....	435.....	652.....	66.7.....
Brewster.....	1,520.....	2,125.....	71.5.....
Bridgeport.....	1,453.....	2,099.....	71.8.....
Bucoda.....	404.....	648.....	62.3.....
Chelan.....	1,923.....	3,532.....	54.3.....
Chewelah.....	1,155.....	2,129.....	54.3.....
Clarkston.....	3,894.....	7,067.....	56.8.....
Cle Elum.....	922.....	1,787.....	51.6.....
Conconully.....	124.....	209.....	59.3.....
Concrete.....	497.....	832.....	59.7.....
Connell.....	1,375.....	2,403.....	57.2.....
Coupeville.....	875.....	1,610.....	54.3.....
Creston.....	121.....	230.....	52.6.....
Cusick.....	150.....	211.....	71.1.....
Ellensburg.....	8,027.....	13,234.....	60.3.....
Entiat.....	502.....	959.....	52.3.....
Everson.....	1,059.....	2,043.....	51.8.....
George.....	368.....	510.....	72.2.....
Goldendale.....	1,996.....	3,665.....	54.4.....
Grand Coulee.....	506.....	878.....	57.6.....
Granger.....	1,811.....	2,586.....	70.0.....
Hamilton.....	194.....	330.....	58.8.....
Hartline.....	79.....	142.....	55.6.....
Hatton.....	65.....	118.....	55.1.....
Hoquiam.....	4,724.....	8,977.....	52.6.....
Ione.....	302.....	506.....	59.7.....
Kahlotus.....	143.....	257.....	55.6.....
Kelso.....	6,133.....	11,730.....	52.3.....
Kettle Falls.....	838.....	1,553.....	54.0.....
Kittitas.....	708.....	1,130.....	62.7.....
Krupp.....	47.....	78.....	60.3.....
Lamont.....	66.....	91.....	72.5.....
Long Beach.....	707.....	1,268.....	55.8.....
Mabton.....	1,279.....	1,911.....	66.9.....
Malden.....	139.....	213.....	65.3.....
Mattawa.....	2,029.....	2,703.....	75.1.....

LOCAL GOVERNMENTS WITH 51 PERCENT OR GREATER LMI POPULATION

(Based on HUD's 2000 Census)

NAME	LMI Population	TOTAL Population	LMI Percentage
Mesa	269	441	61.0
Metaline	118	179	65.9
Metaline Falls	118	199	59.3
Mossyrock	253	463	54.6
Nespelem	107	165	64.8
Newport	1,093	1,808	60.5
North Bonneville	417	659	63.3
Northport	212	343	61.8
Oak Harbor	12,622	19,797	63.8
Oakville	346	640	54.1
Okanogan	1,240	2,281	54.3
Omak	2,482	4,461	55.6
Oroville	1,005	1,630	61.7
Othello	3,172	5,700	55.6
Pe Ell	391	688	56.8
Pullman	11,621	19,792	58.7
Quincy	2,951	5,116	57.7
Raymond	1,516	2,754	55.0
Republic	558	978	57.1
Riverside	217	349	62.2
Rock Island	467	883	56.9
Royal City	1,133	1,840	61.6
Sequim	2,109	4,086	51.6
Soap Lake	1,082	1,695	63.8
South Bend	963	1,809	53.2
Springdale	202	316	63.9
Starbuck	85	115	73.9
Stevenson	676	1,155	58.5
Sumas	572	965	59.3
Sunnyside	8,704	13,869	62.8
Tenino	829	1,448	57.3
Tieton	590	1,131	52.2
Toledo	312	612	51.0
Tonasket	557	880	63.3
Toppenish	5,799	8,781	66.0
Union Gap	2,806	5,479	51.2
Vader	344	617	55.8
Wapato	3,182	4,575	69.6
Warden	1,462	2,540	57.6
Wilson Creek	147	201	73.1
Winthrop	177	324	54.6
Yelm	1,693	3,303	51.3

2012 INCOME LIMITS

APPENDIX A-4

A-4. INCOME LIMITS 2012									
County	Income Level and %	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
Adams	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	\$32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Asotin	Very Low 30%	\$11,750	\$13,400	\$15,100	\$16,750	\$18,100	\$19,450	\$20,800	\$22,150
	Low 50%	\$19,550	\$22,350	\$25,150	\$27,900	\$30,150	\$32,400	\$34,600	\$36,850
	Moderate 80%	\$31,300	\$35,750	\$40,200	\$44,650	\$48,250	\$51,800	\$55,400	\$58,950
Benton	Very Low 30%	\$14,050	\$16,050	\$18,050	\$20,050	\$21,700	\$23,300	\$24,900	\$26,500
	Low 50%	\$23,400	\$26,750	\$30,100	\$33,400	\$36,100	\$38,750	\$41,450	\$44,100
	Moderate 80%	\$37,450	\$42,800	\$48,150	\$53,450	\$57,750	\$62,050	\$66,300	\$70,600
Chelan	Very Low 30%	\$12,350	\$14,100	\$15,850	\$17,600	\$19,050	\$20,450	\$21,850	\$23,250
	Low 50%	\$20,550	\$23,500	\$26,450	\$29,350	\$31,700	\$34,050	\$36,400	\$38,750
	Moderate 80%	\$32,900	\$37,600	\$42,300	\$46,950	\$50,750	\$54,500	\$58,250	\$62,000
Clallam	Very Low 30%	\$12,250	\$14,000	\$15,750	\$17,450	\$18,850	\$20,250	\$21,650	\$23,050
	Low 50%	\$20,350	\$23,250	\$26,150	\$29,050	\$31,400	\$33,700	\$36,050	\$38,350
	Moderate 80%	\$32,550	\$37,200	\$41,850	\$46,500	\$50,250	\$53,950	\$57,700	\$61,400
Columbia	Very Low 30%	\$12,400	\$14,150	\$15,900	\$17,650	\$19,100	\$20,500	\$21,900	\$23,300
	Low 50%	\$20,600	\$23,550	\$26,500	\$29,400	\$31,800	\$34,150	\$36,500	\$38,850
	Moderate 80%	\$32,950	\$37,650	\$42,350	\$47,050	\$50,850	\$54,600	\$58,350	\$62,150
Cowlitz	Very Low 30%	\$12,450	\$14,200	\$16,000	\$17,750	\$19,200	\$20,600	\$22,050	\$23,450
	Low 50%	\$20,700	\$23,650	\$26,600	\$29,550	\$31,950	\$34,300	\$36,650	\$39,050
	Moderate 80%	\$33,150	\$37,850	\$42,600	\$47,300	\$51,100	\$54,900	\$58,700	\$62,450
Douglas	Very Low 30%	\$12,350	\$14,100	\$15,850	\$17,600	\$19,050	\$20,450	\$21,850	\$23,250
	Low 50%	\$20,550	\$23,500	\$26,450	\$29,350	\$31,700	\$34,050	\$36,400	\$38,750
	Moderate 80%	\$32,900	\$37,600	\$42,300	\$46,950	\$50,750	\$54,500	\$58,250	\$62,000
Ferry	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	\$32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600

2012 INCOME LIMITS

APPENDIX A-4

County	Income Level and %	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
Franklin	Very Low 30%	\$14,050	\$16,050	\$18,050	\$20,050	\$21,700	\$23,300	\$24,900	\$26,500
	Low 50%	\$23,400	\$26,750	\$30,100	\$33,400	\$36,100	\$38,750	\$41,450	\$44,100
	Moderate 80%	\$37,450	\$42,800	\$48,150	\$53,450	\$57,750	\$62,050	\$66,300	\$70,600
Garfield	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	\$32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Grant	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	\$32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Grays Harbor	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	\$32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Island	Very Low 30%	\$15,250	\$17,400	\$19,600	\$21,750	\$23,500	\$25,250	\$27,000	\$28,750
	Low 50%	\$25,400	\$29,000	\$32,650	\$36,250	\$39,150	\$42,050	\$44,950	\$47,850
	Moderate 80%	\$40,600	\$46,400	\$52,200	\$58,000	\$62,650	\$67,300	\$71,950	\$76,600
Jefferson	Very Low 30%	\$13,300	\$15,200	\$17,100	\$19,000	\$20,550	\$22,050	\$23,600	\$25,100
	Low 50%	\$22,200	\$25,350	\$28,500	\$31,650	\$34,200	\$36,750	\$39,250	\$41,800
	Moderate 80%	\$35,500	\$40,550	\$45,600	\$50,650	\$54,750	\$58,800	\$62,850	\$66,900
Kittitas	Very Low 30%	\$13,200	\$15,100	\$17,000	\$18,850	\$20,400	\$21,900	\$23,400	\$24,900
	Low 50%	\$22,050	\$25,200	\$28,350	\$31,450	\$34,000	\$36,500	\$39,000	\$41,550
	Moderate 80%	\$35,250	\$40,250	\$45,300	\$50,300	\$54,350	\$58,350	\$62,400	\$66,400
Klickitat	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	\$32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Lewis	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	\$32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Lincoln	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	\$32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600

2012 INCOME LIMITS

APPENDIX A-4

County	Income Level and %	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
Mason	Very Low 30%	\$12,650	\$14,450	\$16,250	\$18,050	\$19,500	\$20,950	\$22,400	\$23,850
	Low 50%	\$21,100	\$24,100	\$27,100	\$30,100	\$32,550	\$34,950	\$37,350	\$39,750
	Moderate 80%	\$33,750	\$38,550	\$43,350	\$48,150	\$52,050	\$55,900	\$59,750	\$63,600
Okanogan	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Pacific	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Pend Oreille	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
San Juan	Very Low 30%	\$13,850	\$15,800	\$17,800	\$19,750	\$21,350	\$22,950	\$24,500	\$26,100
	Low 50%	\$23,050	\$26,350	\$29,650	\$32,900	\$35,550	\$38,200	\$40,800	\$43,450
	Moderate 80%	\$36,900	\$42,150	\$47,400	\$52,650	\$56,900	\$61,100	\$65,300	\$69,500
Skagit	Very Low 30%	\$13,850	\$15,800	\$17,800	\$19,750	\$21,350	\$22,950	\$24,500	\$26,100
	Low 50%	\$23,100	\$26,400	\$29,700	\$32,950	\$35,600	\$38,250	\$40,900	\$43,500
	Moderate 80%	\$36,900	\$42,200	\$47,450	\$52,700	\$56,950	\$61,150	\$65,350	\$69,600
Skamania	Very Low 30%	\$15,350	\$17,550	\$19,750	\$21,900	\$23,700	\$25,450	\$27,200	\$28,950
	Low 50%	\$25,550	\$29,200	\$32,850	\$36,500	\$39,450	\$42,350	\$45,300	\$48,200
	Moderate 80%	\$40,900	\$46,750	\$52,600	\$58,400	\$63,100	\$67,750	\$72,450	\$77,100
Stevens	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Thurston	Very Low 30%	\$15,750	\$18,000	\$20,250	\$22,500	\$24,300	\$26,100	\$27,900	\$29,700
	Low 50%	\$26,250	\$30,000	\$33,750	\$37,500	\$40,500	\$43,500	\$46,500	\$49,500
	Moderate 80%	\$42,000	\$48,000	\$54,000	\$60,000	\$64,800	\$69,600	\$74,400	\$79,200

2012 INCOME LIMITS

APPENDIX A-4

County	Income Level and %	1 Person	2 Person	3 Person	4 Person	5 Person	6 Person	7 Person	8 Person
Wahkiakum	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600
Walla Walla	Very Low 30%	\$12,250	\$14,000	\$15,750	\$17,450	\$18,850	\$20,250	\$21,650	\$23,050
	Low 50%	\$20,350	\$23,250	\$26,150	\$29,050	\$31,400	\$33,700	\$36,050	\$38,350
	Moderate 80%	\$32,550	\$37,200	\$41,850	\$46,500	\$50,250	\$53,950	\$57,700	\$61,400
Whatcom	Very Low 30%	\$14,250	\$16,300	\$18,350	\$20,350	\$22,000	\$23,650	\$25,250	\$26,900
	Low 50%	\$23,750	\$27,150	\$30,550	\$33,900	\$36,650	\$39,350	\$42,050	\$44,750
	Moderate 80%	\$38,000	\$43,400	\$48,850	\$54,250	\$58,600	\$62,950	\$67,300	\$71,650
Whitman	Very Low 30%	\$12,950	\$14,800	\$16,650	\$18,500	\$20,000	\$21,500	\$22,950	\$24,450
	Low 50%	\$21,600	\$24,700	\$27,800	\$30,850	\$33,350	\$35,800	\$38,300	\$40,750
	Moderate 80%	\$34,550	\$39,500	\$44,450	\$49,350	\$53,300	\$57,250	\$61,200	\$65,150
Yakima	Very Low 30%	\$12,050	\$13,800	\$15,500	\$17,200	\$18,600	\$20,000	\$21,350	\$22,750
	Low 50%	\$20,100	\$23,000	\$25,850	\$28,700	\$31,000	\$33,300	\$35,600	\$37,900
	Moderate 80%	32,150	\$36,750	\$41,350	\$45,900	\$49,600	\$53,250	\$56,950	\$60,600

A-5. SUMMARY OF ELIGIBLE PLANNING ACTIVITIES

TITLE 1 OF THE HOUSING AND COMMUNITY DEVELOPMENT ACT OF 1974

This Act is the congressionally adopted statute from which most of the CDBG Program regulations are developed.

Section 105(a)(12) Planning and Capacity Building

(a) Activities assisted under this title may include only – (12) Activities necessary (A) to develop a comprehensive community development plan, and (B) to develop a policy-planning-management capacity so that the recipient of assistance under this title may more rationally and effectively (i) determine its needs, (ii) set long-term goals and short-term objectives, (iii) devise programs and activities to meet these goals and objectives, (iv) evaluate the progress of such programs in accomplishing these goals and objectives, and (v) carry out management, coordination, and monitoring of activities necessary for effective planning implementation.

24 CFR 570.205 Eligible planning, urban environmental design and policy planning-management-capacity building activities

(a) Planning activities which consist of all costs of data gathering, studies, analysis, and preparation of plans and the identification of actions that will implement such plans, including, but not limited to:

- (1) Comprehensive plans;
- (2) Community development plans;
- (3) Functional plans, in areas such as:
 - (i) Housing, including the development of a consolidated plan;
 - (ii) Land use and urban environmental design;
 - (iii) Economic development;
 - (iv) Open space and recreation;
 - (v) Energy use and conservation;
 - (vi) Floodplain and wetlands management in accordance with the requirements of Executive Orders 11988 and 11990;
 - (vii) Transportation;
 - (viii) Utilities; and
 - (ix) Historic preservation.
- (4) Other plans and studies such as:
 - (i) Small area and neighborhood plans;
 - (ii) Capital improvements programs;

(iii) Individual project plans (but excluding engineering and design costs related to a specific activity which are eligible as part of the cost of such activity under Secs. 570.201-570.204);

(iv) The reasonable costs of general environmental, urban environmental design and historic preservation studies. However, costs necessary to comply with 24 CFR part 58, including project specific environmental assessments and clearances for activities eligible for assistance under this part, are eligible as part of the cost of such activities under Secs. 570.201-570.204. Costs for such specific assessments and clearances may also be incurred under this paragraph but would then be considered planning costs for the purposes of Sec. 570.200(g);

(v) Strategies and action programs to implement plans, including the development of codes, ordinances and regulations;

(vi) Support of clearinghouse functions, such as those specified in Executive Order 12372; and (vii) Analysis of impediments to fair housing choice.

Policy--planning--management--capacity building activities which will enable the recipient to:

- (1) Determine its needs;
- (2) Set long-term goals and short-term objectives, including those related to urban environmental design;
- (3) Devise programs and activities to meet these goals and objectives;
- (4) Evaluate the progress of such programs and activities in accomplishing these goals and objectives; and
- (5) Carry out management, coordination and monitoring of activities necessary for effective planning implementation, but excluding the costs necessary to implement such plans.

A-6. MULTIPLE LOCAL GOVERNMENT/JOINT APPLICATIONS

When two or more eligible local governments are located in the same region and share a common planning need, they are encouraged to seek cooperative solutions by preparing a joint application.

Local governments considering a joint application for the higher funding level are encouraged to first contact the CDBG program to review eligibility, including:

- ✓ Are ALL applying local governments recognized as CDBG non-entitlement local governments and able to meet the federal threshold requirements?
- ✓ Is one of the local governments been designated as lead applicant jurisdiction? Are the relationships of the participating local governments well defined?
- ✓ Would this joint planning effort result in a significant increase in scope and/or cost, requiring more Planning-Only Grant funds than available if than if it were a single jurisdiction planning effort? *The Narrative sections must communicate the benefits of the joint planning effort and the need for a significant increase in scope that supports a request for the higher CDBG funding level of up to \$40,000.*
- ✓ Is there an Interlocal Agreement in place? *An Interlocal Agreement is required between all participating local governments, whether a subrecipient is being used or not. This agreement outlines the roles and responsibilities of the parties involved in a joint application and cooperative planning project. The agreement must be signed by each participating jurisdiction and must be submitted with the application. See the next page to see what provisions are required in the agreement.*
- ✓ Does the proposed planning project principally benefit low- and moderate-income (LMI) persons? *(The combined target areas of the multiple local governments must principally be LMI or the proposed planning project must target LMI persons throughout the combined areas. The lead jurisdiction must ensure this National Objective is met and documented for the combined areas in the application.)*
- ✓ Does this project meet the following threshold requirements? If there is **no subrecipient** (both parties are eligible local governments), then **EACH** participating jurisdiction must meet the threshold requirements. If an acceptable subrecipient is representing the other/non-lead participating jurisdiction(s), then only the lead jurisdiction must meet the threshold requirements:
 - Citizen participation, including a local public hearing: If a subrecipient is used, only the lead jurisdiction must adopt a Certification of Compliance and meet the requirements within this certification.
 - Resolution with Certifications of Compliance: If a subrecipient is used, only the lead jurisdiction must complete the federal citizen participation requirements and conduct a public hearing. However, the other participating jurisdiction(s) must inform the public of its intention to participate in the planning project and have a means to receive public comment. This can be achieved through the subrecipient.

Use of a Subrecipient to Represent Other Participating Local Governments: To be an acceptable and representative party in a joint application, the subrecipient must be a non-profit organization with the authority to work within the area that would be benefiting from the joint application (such as a regional Housing Authority or Community Action Agency).

Interlocal Agreement Guidelines

The Interlocal Agreement must include, as a minimum, the following provisions:

1. **Lead Local Government Designation**

The local governments involved in a joint application must determine which local government will serve as lead during the application development and project period. The authorized chief administrative official of this lead local government authorizes the grant application on the Project Summary.

2. **Relationship of the Participating Local Government(s)**

The local governments involved in a joint application must establish their legal relationship to each other. If the subrecipient is to be used, its relationship should be described here as well.

3. **Roles and Responsibilities**

Describe the roles and responsibilities of each participating jurisdiction, including the names of the respective contact persons. These roles and responsibilities should also be described in the application Work Plan.

4. **Product and Combined Target Area Defined**

Describe the product to result from the proposed planning project and the combined target area and/or beneficiaries.

5. **Time Frames**

Time frames for beginning and completing the proposed planning project must be agreed upon and must correspond to the dates in the application Work Plan.

6. **Project Account**

Describe the procedure for maintaining the grant account and coordinating the use of grant funds to pay project-related costs incurred by the participating local governments.

7. **Disposition of Acquired Property**

If applicable, describe the agreed upon arrangement for the disposition of acquired property in accordance with CDBG requirements.

8. **Contract Conditions**

Include a description of the federal and state provisions each participating jurisdiction must comply with when carrying out the Planning-Only Grant agreement. See CDBG website for a summary of the federal and state regulations.

B-1. CITIZEN PARTICIPATION REQUIREMENTS



Public participation is a CDBG requirement . This Appendix includes detailed information on how to meet the federal requirements. Sample notices and handouts are included.

Review ALL the materials with the staff person responsible for public hearings and establish a timeline for completion. You can't start on this aspect of your application too soon.

To apply for CDBG funds, a jurisdiction must show it has involved its citizens in the CDBG application process and complied with the specific federal citizen participation requirements outlined in 24 CFR 570.486. The purpose of these activities is to inform residents and decision-makers of the availability of CDBG funds and to provide an opportunity for community members to present potential projects and offer input on proposed projects.

✓ **HELPFUL HINT:** Plan for the required initial public hearing NOW! Decide the hearing date and then work backward to determine when and how the public announcement must be published to allow sufficient notice time and outreach.

If a jurisdiction intends to apply for more than one type of CDBG grant during the same year, it is advisable to contact the CDBG office to discuss how to coordinate these citizen participation and public hearing requirements.

THE MINIMUM CITIZEN PARTICIPATION STEPS

1. Conduct at least one public hearing prior to submission of the CDBG application. This hearing must be held at a convenient time and location to encourage citizen participation.
2. Publish an official announcement of the hearing, providing reasonable advance notice. A sample public hearing notice with required language is provided in this Appendix.
3. Distribute information on the availability of CDBG funds and the eligible uses at the public hearing. Sample factsheets are provided in this Appendix. The hearing minutes must reflect that these handouts were distributed at the public hearing.
4. Review local demographic data to determine if it is reasonable to expect a significant number of non-English speaking residents to participate in the public hearing and advertise and conduct the public hearing in accordance with this determination.
5. Adopt a grievance procedure for the use of CDBG funds. A sample grievance procedure is provided in this Appendix.
6. Document that the notice was published and the hearing was held.

REQUIRED CITIZEN PARTICIPATION DOCUMENTATION

- ✓ A copy of the public hearing minutes, including a statement that the CDBG required handouts were distributed.
- ✓ A copy of the public hearing notice's affidavit of publication or a copy of the actual notice from the newspaper.
- ✓ The Outreach & Accommodation for Non-English Speaking Residents Form.
- ✓ A copy of the local government's adopted Grievance Procedure that will apply to your project.

B-2. DETAILED INFORMATION ON THE CITIZEN PARTICIPATION REQUIREMENTS

1. Public Hearing Logistics

What is a public hearing? – A public hearing is a meeting of a governmental body during which the public is invited to the council or board of county commissioners, who will primarily listen and receive public input, which becomes part of the public record. A public hearing may be held as part of a regularly scheduled public meeting where official decisions may then be made or where it is elected to make a decision at a subsequent meeting. Do not assume a regular council meeting will meet the public hearing requirement.

Who must conduct the hearing? – The applicant city, town or county. Although some applications are developed by other community organizations or special districts, these organizations cannot conduct the hearing and have it meet CDBG requirements.

When must the hearing be held? – Prior to submission of the CDBG application and within 18 months of the application submittal date.

Where must the hearing be held? – The hearing location must be accessible to persons of disability. The location must also be convenient for persons likely impacted by the proposed project. This is particularly relevant for a county proposing a project in a community that is far from the county seat.

2. Public Hearing Notice

When must the advance notice be made? – Generally, a legal notice is published at least one week prior to the hearing date. The notice must meet the local public hearing notice requirements.

Where must the notice be made? – The hearing must be well advertised, generally in the official local paper. In addition, public notice can be made using community bulletin boards, local newsletters, billing statements, newspaper articles or door-or-door distribution. Residents within those areas in which CDBG funds are proposed to be used, especially the low- and moderate-income persons, should be encouraged to attend or provide comment.

What must the notice say? – A sample notice is provided in this Appendix.

3. Public Hearing Purpose

What must the CDBG hearing cover? – The hearing is to obtain citizens' views and respond to proposals and questions. It must cover community development and housing needs and the availability of CDBG funds. The CDBG Program handout materials are to be distributed. Additional handout materials describing the proposed project(s) are advisable. A copy of the handout information in Spanish is provided in this Appendix.

4. Meeting the Needs of Non-English Speaking Residents

All CDBG applicants must complete the Citizen Participation Form, in Section 1 of the Planning-Only Grant Application Handbook. This form lists potential outreach steps and accommodations and outlines how to document the efforts. The CDBG public hearing should not be advertised or conducted without first ensuring appropriate outreach and accommodations are accomplished. At a minimum, the public hearing notice and handouts should be in the alternative language and a translator should attend the public hearing.

The federal citizen participation regulations in this Appendix state that "public hearings shall be conducted in a manner to meet the needs of non-English speaking residents where a significant number of non-English speaking residents can reasonably be expected to participate." The applicant jurisdiction must review local demographic data and consider the potential impacts of

the proposed project to determine the appropriate outreach steps and accommodations to meet the needs of non-English speaking residents.

Data on the number and percent of non-English speaking residents in a jurisdiction can be found on the 2000 Census website at <http://www.factfinder2.census.gov/> by following these directions:

1. In the “topic or table name” box, enter “DP02” then enter the state, county or place and hit GO.
2. Click on the table based on the “2010 ACS 5-year estimates” to open that dataset.
3. Scroll down to nearly the bottom of the table to the “Language Spoken at Home.”
4. Under “Language Other Than English,” look for the line labeled “Speak English Less Than Very Well.” The data in the “Percent” column is what you need to assess.

If the result is over 10% for any single language, then additional outreach and additional accommodations are necessary to encourage participation from non-English speaking residents.

Contact the CDBG office for assistance in accessing and interpreting this data.

Search Results: 1-12 of 12 tables and other products match 'Your Selections'

Selected: View Download Compare Clear All

Search for:

ID	Table, File or Document Title	Dataset	About
<input type="checkbox"/>	DP02 SELECTED SOCIAL CHARACTERISTICS IN THE UNITED STATES	2010 ACS 1-year estimates	
<input type="checkbox"/>	DP02 SELECTED SOCIAL CHARACTERISTICS IN THE UNITED STATES	2010 ACS 3-year estimates	
<input type="checkbox"/>	DP02 SELECTED SOCIAL CHARACTERISTICS IN THE UNITED STATES	2010 ACS 5-year estimates	
<input type="checkbox"/>	DP02 Selected Social Characteristics in the United States: 2009	2009 ACS 1-year estimates	
<input type="checkbox"/>	DP02 Selected Social Characteristics in the United States: 2007-2009	2009 ACS 3-year estimates	
<input type="checkbox"/>	DP02 Selected Social Characteristics in the United States: 2005-2009	2009 ACS 5-year estimates	

Subject	Thurston County, Washington			
	Estimate	Estimate Margin of Error	Percent	Percent Margin of Error
Asia	0,409	+/-123	4.2%	+/-0.1
Africa	205	+/-123	1.2%	+/-0.7
Oceania	518	+/-228	3.0%	+/-1.3
Latin America	3,445	+/-503	20.0%	+/-2.7
Northern America	1,346	+/-283	7.8%	+/-1.5
LANGUAGE SPOKEN AT HOME				
Population 5 years and over	229,021	*****	229,021	(X)
English only	206,135	+/-1,279	90.0%	+/-0.6
Language other than English	22,886	+/-1,277	10.0%	+/-0.6
Speak English less than "very well"	7,934	+/-868	3.5%	+/-0.4
Spanish	8,348	+/-798	3.6%	+/-0.3
Speak English less than "very well"	2,596	+/-488	1.1%	+/-0.2
Other Indo-European languages	4,557	+/-585	2.0%	+/-0.3
Speak English less than "very well"	721	+/-211	0.3%	+/-0.1
Asian and Pacific Islander languages	9,395	+/-685	4.1%	+/-0.3

5. Grievance Procedure

What must the procedure do? – The grievance procedure must provide citizens the address, phone number, and times for submitting complaints and grievances, and provide timely written answers to written complaints and grievances, within 15 working days where practicable. A sample procedure to be adopted is in this Appendix.

✓ **NOTE:** If funded, an additional public hearing will be required towards the end of the project to review and receive comments on the project's performance. This final public hearing should be included in your proposal's Work Plan. Also if funded, a public hearing would be required if activities are proposed to be added, deleted or substantially changed from the original proposal.

B-3. SAMPLE PUBLIC HEARING NOTICE

Additional information can be added to these required clauses to meet specific local announcement needs and to encourage participation.

If a local government intends to apply for more than one type of CDBG grant during the same year, it is advisable to contact the CDBG office to discuss how to coordinate these citizen participation and public hearing requirements.

If the local government's assessment of demographic data shows there is a significant population of non-English speaking residents (see the Citizen Participation Documentation form), then select the applicable accommodation clause below and publicize this notice also in the alternative language.

Where/When:	NOTICE IS HEREBY GIVEN that a public hearing will be held by the (city council/county board of commissioners) in the (council chambers/hearing room), (location), on (date and time).
Purpose Clause:	The purpose of the public hearing is to review community development and housing needs, inform citizens of the availability of funds and eligible uses of the state Community Development Block Grant (CDBG), and receive comments on proposed activities, particularly from low- and moderate-income persons and persons residing in the (name of area) area (if proposed project is for a smaller service area/neighborhood).
Clause describing the availability of CDBG funds and eligible uses:	Up to \$35,000 for a single jurisdiction or \$40,000 for a multiple jurisdiction project may be available to the (city/county) to fund a planning project that principally benefits low- and moderate- income persons.
Comment clause:	An outline of the proposed (project name) project will be available for review at the (location – government office and/or library), (time and date). Comments may also be submitted in writing to (city/county), (time period).
Select the applicable accommodation clause based on the assessment in your Citizen Participation Documentation form: 1. Standard Or 2. When significant number of non-English speaking residents	The (council chambers/hearing room) is handicap accessible. Arrangements to reasonably accommodate special needs, including handicap accessibility or interpreter, will be made upon receiving 24-hour advance notice. Contact (name) at (number, location). A (insert alternate language) interpreter will be available. The (council chambers/hearing room) is handicap accessible. Additional arrangements to reasonably accommodate special needs will be made upon receiving 24-hour advance notice. Contact (name) at (number, location).

B-4. SAMPLE GRIEVANCE PROCEDURE

Note: *This grievance procedure is intended to serve as a guide and should be revised to reflect local circumstances and to incorporate any applicable state or local laws. The local government applicant can use a grievance procedure already accepted by the CDBG program for a prior CDBG contract, unless that procedure is clearly limited to the prior CDBG project.*

1. Submit complaints in writing to the designated official (such as the city manager, city/county clerk, or county executive) for resolution. A record of the complaints and action taken will be maintained. A decision by the designated official will be rendered within 15 working days.
2. If the complaint cannot be resolved to your satisfaction by the designated official,
 - It will be forwarded to a committee appointed by the governing body. This committee's membership, its ground rules or procedures for hearing complaints, and how the committee can be contacted will be available to the public. The committee will be directed to hear such complaints in an objective, public manner, and after adequate public notice. A written decision will be made within 30 working days. Proceedings of the committee will be recorded and maintained.

OR

 - The complaint will be heard and discussed by the governing, elected body at an open, public meeting. A written decision will be made within 30 working days. The decision of the governing body is final.
3. A record of action taken on each complaint will be maintained as a part of the records or minutes at each level of the grievance process.

Adopted this _____ day of _____, 200__.

(Signature of Chief Administrative Officer)

(Title)

Attest: _____



Department of Commerce

Innovation is in our nature.

Community Development Block Grant Program

For More Information:

John LaRocque
Managing Director
360.725.3166
john.larocque@commerce.wa.gov

Kaaren Roe
Program Manager
360.725.3018
kaaren.roe@commerce.wa.gov

Lynn Kohn
General Purpose Grant
Project Manager
360.725.3042
lynn.kohn@commerce.wa.gov

Phyllis Cole
Planning-Only Grant
Project Manager
360.725.4001
phyllis.cole@commerce.wa.gov

Laurie Dschaak
Grant Specialist
360.725.5020
laurie.dschaak@commerce.wa.gov

Debra Beavin
Business Loans Manager
360.725.4046
debra.beavin@commerce.wa.gov

2012 amounts are proposed

Introduction

The Washington State Community Development Block Grant (CDBG) program provides funds on a competitive basis for public facilities, community facilities, economic development, affordable housing, public services and planning projects that principally benefit low- and moderate-income households.

Since 1982, the Washington State CDBG Program has distributed and managed over \$433 million from the U.S. Department of Housing and Urban Development (HUD). With this funding, the CDBG Program improves the economic, social and physical environment of eligible, rural cities and counties to enhance the quality of life for low- and moderate-income residents, and as a result, make a difference for the entire community.

2012 Funding Set-Asides

In 2012, approximately \$13 million in federal CDBG funds will be awarded to Washington State. It is proposed that funds be distributed as follows:

- **General Purpose Grants**

Contact: Lynn Kohn

Annual grant cycle during which eligible applicants may request up to \$1 million for public facilities, community facilities, housing rehabilitation, or economic development projects principally benefiting low- and moderate-income persons. Application materials are released in November 2011, with applications due by March 1, 2012 and awards announced by early June 2012.

\$11,000,000
- **Planning-Only Grants**

Contact: Phyllis Cole

Grants support a range of planning activities that lead to implementation of priority projects for eligible small communities and rural counties. Funding levels vary by type of project, with the maximum grant for a single jurisdiction at \$35,000. Joint planning efforts may receive up to \$40,000. Application materials are released in April and can be submitted year round beginning May 2012, with first awards announced by July 2012 and ongoing until all funds have been awarded.

\$500,000

- **Housing Enhancement Grants** **\$100,000**
 Contact: Kaaren Roe
 Companion funds to support priority applications submitted to the Washington State Housing Trust Fund, which fund necessary off-site infrastructure or community facility components of the affordable housing project.
- **Imminent Threat Grants** **\$150,000**
 Contact: Lynn Kohn
 Provides funds to address unique emergencies posing a serious and immediate threat to public health and safety on a funds availability basis. Upon formal Declaration of Emergency and completion of an Imminent Threat grant application, costs can be covered for a temporary repair or solution while funding for a permanent fix is secured.
- **Public Services Grants** **\$1,572,612**
 Contact: Kaaren Roe
 Provides funds up to 17 eligible counties and community action agencies to fund new or expanded direct services for persons with low- and moderate-incomes.
- **CDBG Economic Development Loans** **\$12,000,000**
 Contact: Debra Beavin
 Provides eligible jurisdictions with short-term loans for economic development/job creation financing on CDBG-eligible activities meeting a HUD National Objective. Applications may be submitted after adoption of the 2012 Action Plan.

 - Float Loan - Economic Development/Job Creation
 - Rural Washington Loan Fund
 - HUD Section 108 Guarantee Loans

HUD National Objectives

CDBG project activities must meet one of three HUD National Objectives:

- Principally benefits low-and moderate-income persons
- Aids in the prevention or elimination of slums or blight
- Addresses imminent threat to public health or safety

CDBG Eligibility Guidelines

- Eligible applicants are Washington State cities and towns with less than 50,000 in population or counties with less than 200,000 in population that are non-entitlement jurisdictions and are not participants in a HUD Urban County Entitlement Consortium.
- Non-profit organizations, Indian tribes, public housing authorities, port districts, community action agencies, and economic development councils, are not eligible to apply directly to the CDBG Program for funding, but may be partners in projects and subrecipients of funding through eligible jurisdictions.
- Applicants may submit one request per fund each program year.
 Exception: A local government can apply for a second General Purpose Grant if one application is for microenterprise assistance.

Federal Citizen Participation Requirements for Local Government Applicants to the State CDBG Program

Federal Regulations 24 CFR 570.486 (a)

- (a) *Citizen participation requirements of a unit of general local government.* Each unit of general local government shall meet the following requirements as required by the state at Sec. 91.115(e) of this title.
- (1) Provide for and encourage citizen participation, particularly by low and moderate income persons who reside in slum or blighted areas and areas in which CDBG funds are proposed to be used;
 - (2) Ensure that citizens will be given reasonable and timely access to local meetings, information, and records relating to the unit of local government's proposed and actual use of CDBG funds;
 - (3) Furnish citizens information, including but not limited to:
 - (i) The amount of CDBG funds expected to be made available for the current fiscal year (including the grant and anticipated program income);
 - (ii) The range of activities that may be undertaken with the CDBG funds;
 - (iii) The estimated amount of the CDBG funds proposed to be used for activities that will meet the national objective of benefit to low and moderate income persons; and
 - (iv) The proposed CDBG activities likely to result in displacement and the unit of general local government's anti-displacement and relocation plans required under Sec. 570.488.
 - (4) Provide technical assistance to groups representative of persons of low and moderate income that request assistance in developing proposals in accordance with the procedures developed by the state. Such assistance need not include providing funds to such groups;
 - (5) Provide for a minimum of two public hearings, each at a different stage of the program, for the purpose of obtaining citizens' views and responding to proposals and questions. Together the hearings must cover community development and housing needs, development of proposed activities and a review of program performance. The public hearings to cover community development and housing needs must be held before submission of an application to the state. There must be reasonable notice of the hearings and they must be held at times and locations convenient to potential or actual beneficiaries, with accommodations for the handicapped. Public hearings shall be conducted in a manner to meet the needs of non-English speaking residents where a significant number of non-English speaking residents can reasonably be expected to participate;
 - (6) Provide citizens with reasonable advance notice of, and opportunity to comment on, proposed activities in an application to the state and, for grants already made, activities which are proposed to be added, deleted or substantially changed from the unit of general local government's application to the state. *Substantially changed* means changes made in terms of purpose, scope, location or beneficiaries as defined by criteria established by the state.
 - (7) Provide citizens the address, phone number, and times for submitting complaints and grievances, and provide timely written answers to written complaints and grievances, within 15 working days where practicable.



Subvención Global Para Desarrollo Comunitario

Para obtener más Información:

John LaRocque
Executive Director
360.725.3166
john.larocque@commerce.wa.gov

Kaaren Roe
CDBG Program Lead
360.725.3018
kaaren.roe@commerce.wa.gov

Lynn Kohn
General Purpose Grant
Project Manager
360.725.3042
lynn.kohn@commerce.wa.gov

Phyllis Cole
Planning-Only Grant
Project Manager
360.725.4001
phyllis.cole@commerce.wa.gov

Laurie Dschaak
Grant Specialist
360.725.5020
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Business Loans Manager
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debra.beavin@commerce.wa.gov

Cantidades son
propuestas y actualmente
basado en la asignación
de fondos del HUD 2012
para el estado.

www.commerce.wa.gov/cdbg

Introducción:

El programa de Subvención Global para Desarrollo Comunitario del Estado de Washington (CDBG) proporciona fondos sobre una base competitiva para instalaciones de la comunidad y públicas, desarrollo económico, viviendas asequible, servicios públicos y proyectos de planificación que benefician principalmente a los hogares de ingresos bajos y moderados.

Desde 1982, el programa de CDBG del Estado de Washington ha distribuido y administrado más de 433 millones de dólares de los Estados Unidos departamento de vivienda y desarrollo urbano (HUD). Con este financiamiento, el programa CDBG mejora el entorno económico, social y físico de las ciudades rurales elegibles y condados para mejorar la calidad de vida para los residentes de ingresos bajos y moderados y en consecuencia, hacer una diferencia para toda la comunidad.

2012 Fondos Reservados

En 2012, aproximadamente 13 millones de dólares en fondos federales de CDBG se otorgará al Estado de Washington. Se propone que los fondos serían distribuidas como sigue:

- **Concesión de Propósito General** **\$11,000,000**
Contacto: Lynn Kohn
Ciclo anual de concesión durante el cual los solicitantes elegibles pueden solicitar hasta \$1 millón para las instalaciones públicas, centros comunitarios, proyectos de rehabilitación de viviendas, o de desarrollo económico, principalmente beneficiando a personas de ingresos bajos y moderados. Materiales de la solicitud se publicó en Noviembre de 2011, con aplicaciones por el 1 de Marzo de 2012, y los premios anunciados a principios de Junio de 2012.
- **Concesión para Planificación Solamente** **\$500,000**
Contacto: Phyllis Cole
Becas de apoyo a una amplia gama de actividades que conducen a la realización de proyectos prioritarios para pequeñas comunidades elegibles y condados rurales de planificación. Niveles de financiación varían según el tipo de proyecto, con el subsidio máximo para una sola jurisdicción en \$35,000. Los esfuerzos de planificación conjunta puede recibir hasta \$40,000. Materiales de aplicación son liberados en abril y puede ser presentado durante todo el año desde Mayo de 2012, con primeros premios anunciados en Julio de 2012 y en curso hasta que todos los fondos se han concedido.
- **Concesión para Mejora de la Vivienda** **\$100,000**
Contacto: Kaaren Roe
Fondos de acompañante para soportar aplicaciones de prioridad enviadas a Washington estado vivienda Fondo Fiduciario, que financian infraestructura fuera necesaria o componentes de servicio comunitario del proyecto de vivienda asequible.

- **Concesión de Amenaza Inminente** **\$150,000**
 Contacto: Kaaren Roe
 Proporciona fondos para atender las emergencias único que plantea una amenaza grave e inmediata para la salud pública y la seguridad en la disponibilidad de fondos. La declaración formal de Emergencia y la terminación de un peligro inminente solicitud de subvención, los costos pueden ser objeto de una reparación o solución temporal mientras que el financiamiento para una solución permanente está asegurado.
- **Concesión para Servicios Públicos** **\$1,572,612**
 Contacto: Kaaren Roe
 Proporciona fondos para los 12 condados elegibles y agencias de acción comunitaria para financiar servicios directos nuevos o ampliados para las personas con ingresos bajos y moderados.
- **Portafolio de Empréstito Comercial-CDBG** **\$12,000,000**
 Contacto: Debra Beavin
 Proporciona jurisdicciones elegibles con préstamos a corto plazo para el desarrollo económico o financiación la creación de empleo en las actividades de CDBG una reunión de HUD Objetivo Nacional.
 Las solicitudes pueden presentarse después de la adopción del Plan de Acción 2011.

 - Préstamos Flotantes
 - Los préstamos del Fondo Rural de Préstamos de Washington
 - Garantía de Préstamos bajo la Sección 108, por medio de HUD

HUD Objetivos Nacionales

Las actividades de proyectos de HUD CDBG de objetivos nacionales deben cumplir uno de los tres objetivos nacionales de HUD:

- Beneficia principalmente a las personas de ingresos bajos y moderados
- Ayudas en la prevención o eliminación de barrios pobres y insalubres o tizón
- Enfrenta una amenaza inminente para la seguridad o la salud pública

Guía de Elegibles

- Los solicitantes elegibles son ciudades y pueblos del estado de Washington con poblaciones menores de 50,000 o condados con poblaciones menores de 200,000 que son jurisdicciones que no reciben asistencia financiera directa o no son participantes en un Consorcio de Asistencia Financiera Directa del Condado Urbano de HUD.
- Naciones indias y organizaciones con propósitos especiales, tales como autoridades de hogares públicos, estritos portuarios, agencias de acción a la comunidad y consejos de desarrollo económico, no califican para solicitar directamente financiamiento al Programa de CDBG. Sin embargo, jurisdicciones que si califiquen pueden optar por incluir naciones indias o otras organizaciones en actividades financiadas por una subvención.
- Los solicitantes pueden presentar una solicitud en cada ciclo del financiamiento. La excepción es los solicitantes de asistencia micoenterprise pueden presentar dos.

Requisitos de Participación Ciudadana Federal Para Solicitantes del Gobierno Local al Programa de CDBG

Regulación Federal 24 CFR 570.486(a)

- (a) *Requisitos de participación ciudadana de una unidad general del gobierno local.* Cada unidad general del gobierno local, debe cumplir los siguientes requisitos como es solicitado por el estado, en el Sec. 91.115(e) de este artículo.
- (1) Contribuir y motivar a la participación ciudadana, particularmente en personas de recursos bajos y moderados quienes residen en condiciones precarias o áreas insalubres y áreas donde el Programa de CDBG tiene como objetivo apoyar con financiamiento;
 - (2) Asegurar que los ciudadanos tengan acceso oportuno y suficiente a reuniones locales, información y estadísticas relacionadas a la unidad de gobierno local que ha sido propuesta o que utiliza los fondos de financiamiento del programa de CDBG;
 - (3) Proveer información a los ciudadanos, incluyendo:
 - i. La cantidad de financiamientos del de CDBG que se espera sea otorgada en el año fiscal en curso (incluyendo las subvenciones y los ingresos anticipados del programa);
 - ii. El tipo de actividades probables a llevarse a cabo con el financiamiento del de CDBG;
 - iii. La cantidad estimada de financiamientos del de CDBG propuesta para ser usada en actividades que cumplirán con el objetivó nacional de beneficiar a personas de bajos recursos económicos; y
 - iv. Las actividades propuestas del programa de CDBG que son probables de resultar declinadas y la unidad general de gobierno y los planes de reemplazo requeridos bajo el Sec. 570.488
 - (4) Proveer asistencia técnica a grupos representativos de personas de bajos y moderados recursos que soliciten ayuda en el desarrollo de sus propuestas de acuerdo con el procedimiento desarrollado por el estado. Dicha asistencia no incluye proveer financiamiento a tales grupos;
 - (5) Participar en un mínimo de dos audiencias públicas, cada una en diferentes etapas del programa, con el propósito de obtener puntos de vista de los ciudadanos y responder a propuestas y preguntas. La audiencia en conjunto debe cubrir las necesidades de casa y desarrollo en la comunidad, desarrollo de actividades propuestas y la revisión del cumplimiento del programa. La audiencia pública que cubre el desarrollo de la comunidad y las necesidades de casa debe ser llevada a cabo en la fecha y lugares convenientes a beneficiarios actuales a potenciales, con lugares accesibles para discapacitados. Las audiencias publicas deben llevarse a cabo de cierta forma que cumplan las necesidades de residentes que no hablen Inglés ya que se espera que un numero razonable de estos participe en el programa.
 - (6) Informar a los ciudadanos con suficiente anticipación, y oportunidad de comentar al respecto, sobre actividades propuestas en solicitud al estado y, por subvenciones ya efectuados, actividades que sean propuestas para agregarse, eliminarse a ser cambiadas substancialmente de la solicitud de unidad general de gobiernos locales al estado. Cambiadas substancialmente significa que los cambios sean en términos de objetivó, alcance, lugar o beneficiario, como es definido bajo el criterio establecido por el estado.
 - (7) Proveer a los ciudadanos la dirección, el teléfono y las fechas y horario para entregar quejas y objeciones, y proveer oportunas respuestas por escrito a quejas entregadas por escrito, dentro de los primeros 15 días hábiles, cuando así pueda aplicarse.

C. CDBG Requirements for Procuring Professional Services

Jurisdictions that intend to use CDBG resources to pay for professional services must follow federal procurement procedures. If you secure the services of consultants before following approved federal CDBG procurement guidelines, the consequences may include:

- Costs to the jurisdiction that will not be CDBG reimbursable.
- Project delays.
- Formal grievances from citizens and businesses that may have been excluded from the procurement process.

CDBG staff is available to assist in the federal procurement process. Detailed guidance and samples are provided in the procurement of professional services section of the CDBG management handbook, available on the CDBG website at www.commerce.wa.gov/cdbg.

This document provides an overview of procurement guidelines that may be useful as a quick reference.

Advertisement requirements for professional services. Two types are allowed: Request for Statement of Qualifications (RSQ) or Request for Proposals (RFP). The methods are outlined below:

- Publish a request for qualifications (RSQ method) announcement on each occasion when professional services are required; or
- Publish a request for qualifications announcement at least every 36 months in each category of service required by the jurisdiction. (In those instances where the jurisdiction completed the RSQ process prior to receiving the CDBG award, the CDBG funded project must fall within one of the general categories of projects listed in the earlier advertisement and meet all of the CDBG procurement requirements.)
- Publish a request for proposals (RFP method) which specifies the type of project, anticipated start date, and lists evaluation criteria with relative importance that will be used to rank proposals.

The following statements are to be included in the advertisement for both methods.

The (City or County) of _____ is an Equal Opportunity and Affirmative Action Employer.

Minority- and women-owned firms are encouraged to submit statement or proposals.

This project may be (funded or partially funded) through the State of Washington Community Development Block Grant Program with federal funds provided by the U.S. Department of Housing and Urban Development.

The RFP or RSQ advertisement must be publicized at a minimum, once a week for two weeks in a major newspaper of general circulation. At least 14 calendar days from the last publication date must be allowed for respondents to prepare and submit their proposal or statement of qualifications.

- Using the RSQ method, at least three statements of qualifications must be received to have a competitive procurement.

- Using the RFP method, at least two qualified proposals must be received to have competitive a procurement.

Steps must be taken to encourage minority- and women-owned business enterprises (MWBE) and small business participation during the procurement process. These affirmative steps must be included at a minimum:

1. Post the advertisement for RSQ of RFP on the State Office of Minority and Women's Business Enterprise (OMWBE) website at www.omwbe.wa.gov, **or**
2. Develop a list of minority and women owned businesses and send the advertisement for RSQ of RFP to five contractors from the list. You can use the directory on the OMWBE website at www.omwbe.wa.gov or develop your own local list.

Procurement Using Annual Roster

This is allowable in some instances. It must ensure maximum open and free competition, including outreach to OMWBE. Contact the CDBG program.

Small Purchase Procedures for Limited Public Works Projects - In those instances where services are not expected to cost over \$35,000 in the aggregate, small purchase procedures may be utilized to procure consultant services other than professional engineering or architectural services. If small purchase procurement is used, price or rate quotations or proposals must be obtained from at least three qualified sources. Efforts must be made to seek at least one quotation or proposals from a minority- and/or women-owned business enterprise. If the jurisdiction has established a lower ceiling for small purchases, then the lower ceiling should be followed. When using small purchase procedures, it is strongly recommended that selected firm's references and ability to perform be thoroughly checked.

Check for Eligibility - Before signing a contract or, at a minimum, before CDBG funds are expended for professional services, the jurisdiction must confirm the preferred firm is not on the federal list of ineligible professionals and debarred contractors and maintain documentation of the contractor's eligibility in its CDBG project files.